

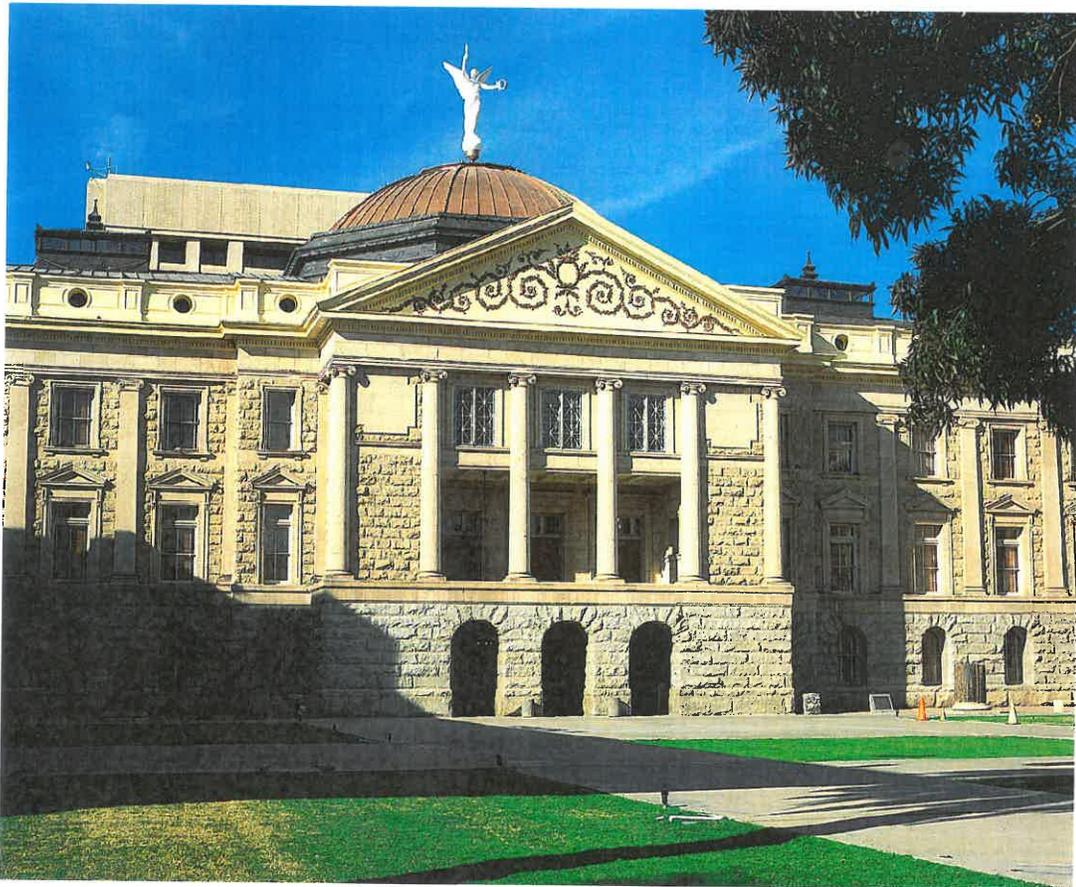
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Arizona Department of Administration State Procurement Office

"Providing procurement services through operational leadership, legal compliance, and enhanced value for our customers and the state's procurement community."



Arizona Department of Health Services Procurement Performance Review

Prepared by: SPO Compliance
11/17/2014

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW
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**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW
SUMMARY**

The State Procurement Office (SPO) performed a Procurement Performance Review of the Arizona Department of Health Services (ADHS) commencing on November 17, 2014, in accordance with Arizona Procurement Code R2-7-201, R2-7-202, Governor's Executive Order 2005-01, and SPO Technical Bulletin No. 003, Revision 5. The review focused on the agency's ability to properly exercise procurement authority in accordance with its procurement delegation, the Arizona Procurement Code (APC), SPO Technical Bulletins, and Standard Procedures.

The review included an examination of the agency's procurement policies and procedures manual; review of previous audit and personnel training records; observation of internal systems controls; interview with purchasing personnel; review of quarterly and annual agency procurement reports; examination of solicitations, contracts and purchase orders performed by the agency.

21 contracts, 10% of contracts written in the last 12 months (Nov '13 to Nov '14), were randomly selected as a representative sample for review. The reviewed files included 2 requests for quotations (RFQ), 3 invitation for bids (IFB), 3 requests for proposals (RFP), 10 competition impracticable, and 3 sole source procurements. 5 open-market requisitions were also reviewed.

This review may not have detected, nor should it be relied upon to detect, all deficiencies that may have existed or improvements that should have been employed by the agency at the time of the review. Contained in this report are the findings and recommendations.

**STATE OF ARIZONA
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FINDINGS, RECOMMENDATIONS, NOTEWORTHY PRACTICES**

1. Procurement Policies and Procedures Manual

A procurement policy and procedures manual is beneficial to establish guidelines and standards for the acquisition of products and services by ADHS. A relevant, and up-to-date, manual fosters consistent procurement practice within ADHS and serves as a basis for procurement control and oversight. As a best practice in public procurement, a purchasing policy and procedures manual should include, at a minimum, ADHS-specific instructions that supplement the general instructions of the APC, SPO Technical Bulletins, and Standard Procedures. Moreover, the United States Sentencing Commission recognizes the existence, and enforcement, of organizational policies and procedures is the single greatest mitigating factor in determining organizational culpability for criminal misconduct.

Findings

ADHS has a procurement policy and procedures manual which provides direction to personnel on the acquisition of products and services. However, this manual is out-of-date, with sections dated from 2008 through 2012. This manual does not provide guidance for current solicitation thresholds or, in several cases, the use of ProcureAZ. ADHS is in process of revising its procurement policy and procedures manual as evidenced by the CPO's change matrix. The change matrix outlines the policies which must be revised or added. Through review of the change matrix and policy and procedure manual it is observed that some recommended policies and procedures are not yet addressed, including: State Set-Asides, Quarterly Reporting to SPO, Cooperative Contracts, Disposal of Surplus Property, and Contract Administration.

Recommendations

1.a. It is the recommendation of the SPO Compliance Unit that ADHS endeavors to finish updating its procurement policies and procedures manual as soon as possible. Revisions to the ADHS procurement policies and procedures manual should not only reflect current state procurement policies, but also the specific practices of the procurement office at ADHS. Revision to the manual should focus on maximizing the procurement office's effectiveness and efficiency in the acquisition of goods and

services by providing a clear, workable, direction to both skilled and new procurement personnel.

2. Contract Files

Document Standards prescribed by SPO Standard Procedure No. 006 provides a list of required documents which shall be located, as applicable, in the solicitation and contract files on ProcureAZ, as well as the naming conventions associated with each document. These standards assist both the procurement officer in document management and the public in viewing the solicitation and contract files. These standards also help reduce procurement officer reliance of memory regarding which documents must be made available to public view. While the APC defines the procurement file as the official records file is either electronic or paper, Standard Procedure #006 addresses the electronic upload of documents into ProcureAZ, and Technical Bulletin #020 has designated files on ProcureAZ as the State of Arizona's official procurement records.

Findings

The official file of record for ADHS is on ProcureAZ. While only select items of documentation are identified as regularly missing within ADHS procurement files, closer attention to these items, listed below, will improve overall procurement office transparency. 21 files, located on ProcureAZ, were reviewed for this PPR.

Of the 21 files reviewed, 18 lacked either an electronic request in ProcureAZ or a written request uploaded into ProcureAZ as required by SPO SP #024, and APC R2-7-205, to initiate the solicitation process (6.1A, 6.1B, 6.2A, 6.2B, 6.2C, 6.3A, 6.3B, 7.1A, 7.1B, 7.1C, 7.3A, 7.3B, 7.3C, 7.3D, 7.3E, 7.3G, 7.3H, 7.3I). Additionally, five of eight files reviewed for certificates of insurance (COI) lacked current non-expired COI's in file (6.1A, 6.1B, 6.2B, 6.2C, 6.3C). Lastly, three of six applicable files reviewed lacked evidence that the solicitation was advertised in the newspaper at least 14 days prior to the offer due date (6.3A, 6.3B, 6.3C).

The SPO Compliance Unit finds an opportunity to enhance personnel knowledge of Significant Procurement Role. 14 of 25 files/requisitions reviewed lacked copies of the PDS for state employees that participated in the development of a procurement, participated in development of an evaluation tool, served as an evaluator or technical advisor, recommending or selecting a vendor, or who requested or approved sole source or competition impracticable procurements

as required by SPO SP# 003 (6.1B, 6.2A, 6.2B, 6.2C, 6.3B, 6.3C, 7.1B, 7.3A, 7.3B, 7.3C, 7.3D, 7.3G, 7.3H, 7.3I). Additionally, 4 of 20 files reviewed were not listed on the SPO Website's listing of significant procurement activity (6.2B, 7.3A, 7.3C, 7.3D).

Finally, the SPO Compliance Unit finds opportunity to more clearly document special purchase requests (Sole Source, Competition Impracticable, and Emergency). Specifically, 3 of 3 Sole Source procurements reviewed did not clearly address whether the cost of the procurement was determined to be fair and reasonable pursuant to R2-7-702 (7.1A, 7.1B, 7.1C). Similarly, 2 of 10 Competition Impracticable (CI) procurements reviewed did not clearly explain why competition was impracticable. In each instance, the CI determinations address the abilities of identified vendors to satisfy complex needs, but do not clearly address why the specific scope of work could not be solicited competitively (7.3E, 7.3I)

Recommendations

2.a The SPO Compliance Unit strongly recommends identifying the missing items addressed above, scanning, and uploading them, where possible, to the respective contract files on ProcureAZ.

2.b The SPO Compliance Unit recommends the ADHS procurement office address the requirements of SPO SP #024 and APC R2-7-205 by ensuring requisitions are submitted, and linked to the contract file, via ProcureAZ. Where this is not possible, ADHS should implement processes which ensure written requests, by methods approved by the CPO, are obtained from the program manager initiating the procurement process and retained in the procurement file of record.

2.c The SPO Compliance Unit recommends the ADHS procurement office establish procedures to monitor contract files for current, and up to date, certificates of insurance as required by contract Special Terms and Conditions insurance requirements which state, *"Contractor and subcontractors shall procure and maintain until all of their obligations have been discharged."*

2.d The SPO Compliance Unit recommends the CPO provide the ADHS procurement staff training addressing SPO SP#003 and SPO TB#010 to enhance the office personnel understanding and practice in compliance of the Significant Procurement Role. Training

should specifically address retaining Procurement Disclosure Statements in the contract file of record and to notify SPO of all significant procurement activity.

2.e The SPO Compliance Unit recommends the CPO provide the ADHS procurement staff training in completion of Sole Source Determination requests and Competition Impracticable Determination requests which adhere to addressing all of the requirements of the Arizona Procurement Code (§41-2536 & §41-2537). Specifically, the office should avoid statements within the determination requests which may leave question to third party reviewers, such as “Why couldn’t we solicit this scope of work competitively and, if necessary, award as a sole source?” and “Is this sole source actually quoting a fair price?”

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CONCLUSION**

The ADHS procurement personnel have a strong working knowledge of the Arizona Procurement Code as well as a wealth of industry experience. Through our discussions together it was clear that procurement personnel knew where to find the answers to questions they may have through the course of their daily responsibilities: APC, Technical Bulletins, Standard Procedures, and management.

Through addressing two recommended areas of improvement, ADHS will enhance its professional image and reduce the risk of non-compliance. The two key recommendations include:

- 1.) Complete the update of the ADHS Procurement Policies and Procedures Manual and implement recommended additions addressed within this review.
- 2.) Contract Files – Provide staff training in processes to ensure proper documentation is loaded into the contract file and documented as required by APC, Standard Procedures, and Technical Bulletins.

Finally, it is recommended ADHS management review all actionable recommendations contained within the worksheets herein.

The State Procurement Office Compliance Unit would like to express our appreciation to ADHS management and staff for their cooperation during the course of our review.



Jeremy Beakley, MBA, CCEP
Compliance Officer

12/3/14

Date



Barbara Corella
State Procurement Administrator

12/3/14

Date

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

State Agency: Arizona Dept. Health Svcs.

State Agency Delegated Authority: \$ Unlimited

The following criteria were considered in the procurement performance review process in compliance with AZSPO Technical Bulletin No. 3, Procurement Compliance Reviews – Phase 2 (Organizational Chart, Purchasing Policy and Procedures Manual, List of Delegated Employees, & other documents as requested).

Item No.	Compliance Criteria					
1.0	Purchasing Organization	N/A	Yes	No	Requires Action	Comments
1.1	Does the procurement office have an accurate organizational chart that shows current employee designation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.2	Does the procurement office have a Chief Procurement Administrator (CPO) signed delegated procurement authority on file?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.3	Have procurement personnel completed necessary training applicable to delegated authority? (TB# 002)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.4	Are the employees listed on the organizational chart assigned full-time procurement and contracting duties?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.5	Agency has well documented process for adding/deleting/modifying delegated authority in ProcureAZ.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Office should include in its procurement policy and procedures manual the internal processes for processing changes to delegated procurement authority in ProcureAZ.

Item No.	Recommendations	Assigned to	Estimated Completion
1.5	See Recommendation 2.2	CPO	ASAP

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Item No.	Compliance Criteria					
2.0	Purchasing Policies and Procedures Manual	N/A	Yes	No	Requires Action	Comments
2.1	Does the agency have a purchasing policies and procedures manual and/or solicitation checklist?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.2	Is the agency's purchasing policies and procedures manual current and in compliance with the AZ Procurement Code (APC), applicable executive orders and SPO Technical Bulletins (TB)?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Office has a policies and procedures change matrix and is already in process of bringing up to date.
2.3	Does the agency's manual provide comprehensive instructions on the following?					
2.3.1	Description of the purchasing cycle	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Procurement Policies & Procedures Matrix inclusive of upcoming revisions to existing manual, of which this topic is listed to be revised.
2.3.2	Roles and delegation assignments of procurement personnel	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.3.3	Agency-specific instructions on how to process purchase requisitions and purchase orders	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	2.3.1
2.3.3.1	Instructions on how to process purchase orders and contract releases issued in ProcureAZ.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Note: Office has Procurement Policies & Procedures Matrix inclusive of upcoming revisions to existing manual, of which this topic is listed to be drafted. Older policy does not address ProcureAZ.
2.3.4	Instructions on how to use the agency's procurement system	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Manual includes ProcureAZ instructions for Sole Source, Small Dollar, and CI. Matrix (see 2.3.3.1) addresses several

						policies still to be drafted.
2.3.5	Instructions on how to prepare specifications and scopes of work	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.3.6	Instructions on how to process sole source, limited competition, and emergency procurements (Unlimited w/in authority; Limited to SPO)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Note: Office has Procurement Policies & Procedures Matrix inclusive of upcoming revisions to existing manual, of which this topic is listed to be revised.
2.3.7	Instructions on how to conduct solicitations, as applicable to agency delegated authority (e.g. IFB, RFP, RFQ)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	RFQ Checklist associated with RFQ instructions is dated 11/2007 and reference old Spirit system – should be updated.
2.3.8	Instructions on contract administration and procurement file management	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Note: Office has Procurement Policies & Procedures Matrix inclusive of upcoming revisions to existing manual, of which this topic is listed to be drafted.
2.3.9	Instructions on set-aside purchasing	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	While IFB/RFP/RFQ instructions/checklist point to statewide contracts and set-aside as sources before solicitation, state set-asides should be emphasized as the <u>primary option</u> before statewide contracts (TB#004).
2.3.10	Instructions on submitting agency procurement reports (e.g. changes in delegated personnel, set-aside program, Compliance with AZ Legal Workers Act, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Office should include internal procedures for complying with executive orders and statutes not specifically addressed in the A.P.C., but are applicable to the procurement office.
2.3.11	Instructions on how to process cooperative purchasing agreements (TB# 005)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Office should include internal procedures for the consideration and use of WSCA approved contracts.
2.3.12	Instructions on how to use P-Cards	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.3.13	Instructions on how to dispose of agency surplus property	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Office should include agency specific instructions for the

						disposal of surplus property.
2.3.14	Procurement ethics (TB# 001)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.4	Are employees complying with the agency's established purchasing policies and procedures manual?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
2.2	Office should continue its current process of bringing its Procurement Policies and Procedures Manual up to date while adding select additional procedures as addressed in: 1.5, 2.3.9, 2.3.10, 2.3.11, 2.3.13	CPO	ASAP

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Item No.	Compliance Criteria	N/A	Yes	No	Requires Action	Comments
3.0	Agency Reporting Requirements	N/A	Yes	No	Requires Action	Comments
3.1	Is annual list of all agency delegated procurement personnel current and accurate? (SPO TB #002)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.2	Were agency procurement personnel delegation changes reported within five working days to SPO? (See agency delegation agreement)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.3	Are all agency requisitions, purchase orders, receipts, formal and informal solicitations and contract administration conducted on ProcureAZ? (PDS signed for all \$10K+ open market requisitions?) (See agency delegated authority)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.4	Are quarterly sole source, emergency, and competition impracticable procurement reports to SPO timely and accurate [if applicable – see Delegated Procurement Authority]? (ARS §41-2536, §41-2537, SPO TB #041)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.5	Are procurement protests, claims, decisions and agency reports submitted to SPO within five days of receipt or completion? (See agency delegation on administrative actions)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.5.1	Does agency CPO make written determination to either proceed with award or stay all, or part, of the procurement – providing copies of determination to SPO & interested parties? (R2-7-A902)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.5.2	If a stay was issued, did Director dismiss the stay either to protect the substantial interest of the state, if the appeal did not state a valid basis for the protest, if the appeal	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	was untimely, or if the appeal attempted to raise issues not raised in the protest?					
3.6	Is the agency endeavoring to set aside one percent of new purchases to set-aside contractors? (ARS §41-2636 and SPO TB #004)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Although the agency is below 1% of new purchases to set-aside contractors, the agency consciously considers set-aside sources where possible.
3.7	Is agency verifying employment records of contractors and subcontractors, as per randomly selected by SPO? (ARS §41-4401, Executive Order 2005-30, & SPO SP #001)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
	None		

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Item No.	Compliance Criteria					
4.0	Procurement Personnel Training and Delegation	N/A	Yes	No	Requires Action	Comments
4.1	Does the agency provide in-house procurement training and mentoring programs for newly-hired procurement personnel?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	The office utilizes a "buddy system" to mentor new employees through shadowing and observation. The staff agrees, however, a documented training process would enhance the existing training practices.
4.2	Do procurement personnel undergo procurement training to enhance proficiency and professional status of procurement? (TB# 001 & TB# 002)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.3	Are agency procurement managers certified by a public procurement organization (NIGP, ISM, etc) (TB# 001 & TB# 002)?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Deputy CPO has CPPO – however no other certifications.
4.4	Is agency procurement staff certified by a public procurement organization (NIGP, ISM, etc) (TB# 001 & TB# 002)?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Office staff does not hold NIGP certifications. Agency budget limitations permit membership for procurement office staff to NIGP, but funding for classes only for two Sr. Procurement Technicians.
4.5	Are the agency's delegated procurement personnel taking the required (20) hours of procurement training each year? (Unl Delegated Procurement Authority)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.6	Did the agency CPO sub-delegate procurement authority to agency procurement personnel in writing? (R2-7-203)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.7	Do agency sub-delegations include specific activities, functions, and	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	limitations? (TB #002; Delegated Procurement Authority)					
4.7.1	Are staff delegated amounts in line with duties and title? (TB #002; Delegated Procurement Authority)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.8	Were procurement personnel adequately trained prior to being granted procurement delegation by the agency CPO? (TB# 002; Delegated Procurement Authority)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Training transcripts do not reflect ProcureAZ CBT's completed as required for position title/grade of only 1 of 11 procurement personnel: Procurement Specialist: ADSPO210C, ADSPO400.

Item No.	Recommendations	Assigned to	Estimated Completion
4.1	CPO should draft onboarding procedures for new procurement personnel to ensure proper training is provided to individuals from a range of prior experience.	CPO	ASAP
4.8	Procurement Specialist should complete assigned trainings as necessary for position title/grade.	Procurement Specialist	ASAP

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Item No.	Compliance Criteria					
5.0	Procurement Internal Controls	N/A	Yes	No	Requires Action	Comments
5.1	Does the agency provide procurement staff ethics training as outlined by SPO TB #001?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	ADHS procurement manual contains section for procurement ethics. CPO provides ad hoc training on ethics topics at staff meetings.
5.2	Does the agency have a procedure or policy for dealing with unethical behavior?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ADHS procurement manual specifies "zero tolerance" for unethical behavior. No specific known policy – although staff know to escalate concerns to upper-management.
5.3	Are any of the agency's procurement personnel or staff employed in secondary work that potentially conflicts with their ability to perform their procurement function, as must be disclosed per HR Conditions of Employment R2-5A-503? (SPO TB #001)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
5.4	Does the agency have internal systems of control to guard against employee or public officer purchase of materials or services for their own personal, or business, use from contracts entered into by the state? (R2-7-204)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.5	Does agency have on file Annual Procurement Disclosure Statements for all employees, whose regular responsibilities include: Soliciting quotes greater than \$10,000 for the provision of materials, services, or construction; Issuing open market purchase orders with department buyer or basic purchasing roles in ProcureAZ; and, making decisions on protests or appeals by a party regarding an agency procurement selection or decision? (SPO SP #003).	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.5.1	Has agency director waived Annual	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	Procurement Disclosure Statements for any employees?					
5.6	Are responsibilities divided between different employees so one individual does not control all aspects of procurement?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.7	Upon receipt of a submission, and CPO written determination, is the procurement office adequately safeguarding confidential information? (R2-7-103)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.8	Are contract files kept safe from tampering by unauthorized personnel?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.9	Are there procedures in place to safeguard contract files during file reviews or when the public accesses the agency's procurement records?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.10	Does the agency routinely check statewide contracts and state set-asides prior to issuing an open-market requisition (Delegated Procurement Authority & SPO TB# 004)?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.11	Does the office regularly monitor agency P-card purchases? (SPO TB #040)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.12	Does the agency maintain adequate contract records to facilitate auditing by the State? (ARS §41-2548)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.13	Does the agency make available the SPO "E-Comply" anonymous/confidential reporting compliance and ethics email address?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.14	Other than ADOA's state financial system, does the agency have any other system of collecting financial data?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
5.15	Does the agency's internal audit conduct regular audits on procurement transactions?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.16	Were any finance or purchasing-related audits or reviews conducted on the agency within the past two years?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Note: 2011 Audit (3 years)
5.17	Did agency management comply with the recommendations and Recommendations in the audit report listed in 5.16?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	05/2014 ADHS Policy Revised/Updated addressing audit finding: Debarment/Suspension Process.
5.18	Cooperative Contracts (TBD 09/14)					

5.18.1	Does the office practice due diligence in selection of cooperative contracts – cooperative contract complies with requirements of 41-2533, 41-2534, 41-2535, TB# 005?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.18.2	CPO performs cost analysis to determine best value? (R2-7-702)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.18.3	CPO reviews contract terms and conditions (R2-7-####)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.18.4	Office verifies vendor has capacity and willingness to extend contract to the state? (R2-7-####)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.18.5	Cooperative contracts are lesser of 25% of original contract or \$500k? (R2-7-####)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.18.6	Office verifies if State Contract already exists? (R2-7-####)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
5.2	The CPO should outline ethics violations, as part of the procurement policy and procedures manual's section on procurement ethics, and the necessary steps for reporting violations (e.g. upper-management, SPO E-Comply).	CPO	ASAP

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STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria were considered in the procurement performance review process in compliance with AZSPO Technical Bulletin No. 3, Procurement Compliance Reviews – Phase 3 (Representative Samples of IFB’s, RFP’s and RFQ’s, Sole Source, Competition Impracticable, Emergency). “Stop & Go” review used – reviewing greater of 10, or 10% of prior year contract files.

The following criteria is used for each representative solicitation or contract.

Item No.	Compliance Criteria			
6.0	Contracts			

Request for Quotation (RFQ)	
Solicitation or Contract Number:	ADHS15-082324
Contract Title or Description:	Meeting Facilitation Services for State Health Improvement Plan
Contract Estimated Amount:	<\$100,000

6.1A	Request for Quotations (RFQ)	N/A	Yes	No	Requires Action	Comments
6.1.1	Is there a Procurement Request, in writing, on file (Requisition(ProcAZ) /Email/Other)? (R2-7-205)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Solicitation addresses need for meeting facilitation services, however the file does not contain specific written request from office/division for the service as a pre-solicitation document: applicable pertinent information. Contract not linked to requisition in ProcureAZ.
6.1.2	Should a set-aside or statewide contract been considered/used?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.3	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Approved by CPO
6.1.4	Is there any evidence that this was artificially divided or fragmented so as to circumvent this section? (ARS §41-2535.C)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	

6.1.5	Does the RFQ include a statement that only a small business as defined in R2-7-101, shall be awarded a contract? (R2-7-D302)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.5.1	If RFQ was not awarded to a small business, is there a determination in file that less than three small businesses are registered, or that restricting procurement to small business is not practical under the circumstances (R2-7-D302)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6	Does the RFQ include the following (R2-7-D302.A):					
6.1.6.1	Offer submission requirements, including offer due date and time, where offers will be received, and offer acceptance period	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.2	Any purchase description, specifications, delivery or performance schedule, and inspection and acceptance requirements	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.3	The minimum information that the offer shall contain	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.4	Any evaluation factors	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.4.1	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.5	Whether negotiations may be held	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.6	The uniform terms and conditions by text or reference	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.7	The term of the contract, including language for any applicable option for contract extension (ProcAZ Max/Control)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.7	Was the RFQ distributed to a minimum of three small businesses? (R2-7-D302)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.8	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.8.1	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator? (SPO SP#	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	003)					
6.1.9	Is there a written basis for the award on file? (R2-7-D304)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.10	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.10.1	Does the file contain adequate justification for multiple awards, or otherwise obtained SPA authorization? (R2-7-608).	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.11	ProcureAZ					
6.1.11.1	Is total spend limit locked in Control Tab?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.11.2	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.12	Contract Administration					
6.1.12.1	Are contract files and records complete and available for public inspection? – note “persons with disabilities” (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.12.2	Is there a valid and current Certificate of Insurance on file (if applicable)? (ARS §41-2573)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	COI in file expired 08/01/2014.
6.1.12.3	Are the amounts on the Certificate of Insurance consistent with the contract requirements? (ARS §41-2573)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.12.4	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.12.5	For multi-term contracts, are there written determinations of extension in the contract files (> 5 years)? (R2-7-605.A-C)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
6.1.1	Procurement officer should obtain original written	Procurement	ASAP

	procurement request for product/service and upload to the procurement file.	Officer	
6.1.12.2	Procurement officer should obtain up-to-date certificate of insurance and upload to the procurement file.	Procurement Officer	ASAP
6.1.1 6.1.12.2	CPO should instruct procurement staff to ensure items are obtained, procedures implemented to obtain in the future, and items are present in the procurement file.	CPO	ASAP

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria is used for each representative solicitation or contract.

Item No.	Compliance Criteria			
6.0	Contracts			

Request for Quotation (RFQ)	
Solicitation or Contract Number:	ADHS14-062678
Contract Title or Description:	Arizona Immunization Program Office (AIPO)
Contract Estimated Amount:	

6.1B	Request for Quotations (RFQ)	N/A	Yes	No	Requires Action	Comments
6.1.1	Is there a Procurement Request, in writing, on file (Requisition(ProcAZ) /Email/Other)? (R2-7-205)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Solicitation addresses need for Immunization Program, however the file does not contain specific written request from office/division for the service as a pre-solicitation document: applicable pertinent information. Contract not linked to requisition in ProcureAZ.
6.1.2	Should a set-aside or statewide contract been considered/used?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6.1.3	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Approved by Deputy CPO
6.1.4	Is there any evidence that this was artificially divided or fragmented so as to circumvent this section? (ARS §41-2535.C)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6.1.5	Does the RFQ include a statement that only a small business as defined in R2-7-101, shall be awarded a contract? (R2-7-D302)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
						Approved by Deputy

6.1.5.1	If RFQ was not awarded to a small business, is there a determination in file that less than three small businesses are registered, or that restricting procurement to small business is not practical under the circumstances (R2-7-D302)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	CPO
6.1.6	Does the RFQ include the following (R2-7-D302.A):					
6.1.6.1	Offer submission requirements, including offer due date and time, where offers will be received, and offer acceptance period	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.2	Any purchase description, specifications, delivery or performance schedule, and inspection and acceptance requirements	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.3	The minimum information that the offer shall contain	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.4	Any evaluation factors	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.4.1	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.5	Whether negotiations may be held	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.6	The uniform terms and conditions by text or reference	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.7	The term of the contract, including language for any applicable option for contract extension (ProcAZ Max/Control)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.7	Was the RFQ distributed to a minimum of three small businesses? (R2-7-D302)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.8	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	No PDS attached to file of record for requisitioning employee initiating solicitation.
6.1.8.1	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator? (SPO SP# 003)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.9	Is there a written basis for the award on file? (R2-7-D304)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.10	At the time of award, does a					

	procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.10.1	Does the file contain adequate justification for multiple awards, or otherwise obtained SPA authorization? (R2-7-608).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.11	ProcureAZ					
6.1.11.1	Is total spend limit locked in Control Tab?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.11.2	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.12	Contract Administration					
6.1.12.1	Are contract files and records complete and available for public inspection? – note “persons with disabilities” (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	6.1.8
6.1.12.2	Is there a valid and current Certificate of Insurance on file (if applicable)? (ARS §41-2573)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	File does not contain certificate of insurance
6.1.12.3	Are the amounts on the Certificate of Insurance consistent with the contract requirements? (ARS §41-2573)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.12.4	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.12.5	For multi-term contracts, are there written determinations of extension in the contract files (> 5 years)? (R2-7-605.A-C)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
6.1.1	Procurement officer should obtain original written procurement request for product/service and upload to the procurement file.	Procurement Officer	ASAP
6.1.12.2	Procurement officer should obtain up-to-date certificate of insurance and upload to the procurement file.	Procurement Officer	ASAP
6.1.8	Procurement officer should obtain the state employee	Procurement	ASAP

	signed Procurement Disclosure Statement and upload to the procurement file.	Officer	
6.1.1 6.1.8 6.1.12.2	CPO should instruct procurement staff to ensure items are obtained, procedures implemented to obtain in the future, and items are present in the procurement file.	CPO	ASAP & Ongoing

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria is used for each representative contract.

Invitation for Bids (IFB)	
Contract Number:	ADHS15-082051
Contract Title or Description:	Clothing for Arizona State Hospital
Contract Estimated Aggregate Amount:	>\$100,000

6.2A	Invitation for Bids (IFB)	N/A	Yes	No	Requires Action	Comments
6.2.1	Is there a Procurement Request, in writing, on file (Requisition(ProcAZ) /Email/Other)? (Req copy) (R2-7-205)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Solicitation addresses need for Arizona State Hospital, however the file does not contain specific written request from office/division for the service as a pre-solicitation document: applicable pertinent information. Contract not linked to requisition in ProcureAZ.
6.2.2	Should a set-aside or statewide contract been considered/used?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.3	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Approved by CPO
6.2.4	Was there adequate notice, a minimum of 14 days before bid opening, of the IFB in a newspaper? (Svcs shall, commodities may - excluding professional / construction) (ARS §41-2533.C, R2-7-B301)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.5	If a Pre-Offer Conference was conducted, was it held a reasonably sufficient time before the offer due date? (R2-7-B302; TB# 043)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.6	Does the solicitation include the most recent edition of Uniform Instructions and Uniform Terms and Conditions issued by SPO – SPO Website: http://spo.az.gov ? (R2-7-B301 and R2-7-C301)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6.2.7	Does the solicitation include instructions to offerors, including: (R2-7-B301.C.1)					
6.2.7.1	Offer Due Date/Time, Location where offers will be received, offer acceptance period.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.2	The deadline date for requesting a substitution or exception to the solicitation.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.3	Manner by which to acknowledge amendments – for material changes (TB# 043) (Proc AZ Quote/Summary)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.4	Minimum information required in the offer.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.5	The specific requirements for designating trade secrets and other proprietary information as confidential. If trade secret, does the CPO confirm 1.) What steps the vendor has taken to protect their information, and 2.) What would be harmed by the disclosure of the information?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.6	Any specific responsibility criteria.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.7	Whether the offeror is required to submit samples, descriptive literature, and technical data with the offer.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.8	Any evaluation criteria.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.8.1	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.9	A statement of where documents incorporated by reference are available for inspection and copying.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.10	A statement that the agency may cancel the solicitation or reject an offer in whole or in part.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.11	Certification by the offeror that submission of the offer did not include collusion or other anticompetitive practices.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.12	Certification by the offeror of compliance with A.R.S. § 41-3532 when offering electronics or information technology products, services, or maintenance (Section 508).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6.2.7.13	The term of the contract, including language for any applicable option for contract extension (ProcAZ Max/Control). (R2-7-B301.C.3)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.8	Was the appropriate insurance module used in the solicitation? (ARS §41-621, ARS §23-901)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.9	Did the bid generate a sufficient number of qualified bidders? (ARS §41-2533, §41-2534)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.10	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	No PDS attached to file of record for requisitioning employee initiating solicitation.
6.2.11	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.12	Was the contract awarded to the lowest responsible and responsive offeror whose offer conforms in all material respects to the requirements and criteria in the solicitation? (R2-7-B314.A; SP# 043)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.13	If applicable, is there a non-responsibility determination on file? (R2-7-B313)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.14	Is there a record showing the basis for determining the successful offeror on file? (R2-7-B314.B)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.15	Were all offerors notified of the award, if ProcureAZ wasn't used? (R2-7-314.D)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.16	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6.2.16.1	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.16.2	Does the file contain adequate justification for multiple awards, or otherwise obtained SPA authorization? (R2-7-608).	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17	If Reverse Auction (SPO SP#025)					
6.2.17.1	Was the commodity appropriate for a reverse auction?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17.2	Were vendors notified via Bulk Email, including Offer & Acceptance, Specifications, Uniform T&C's, Special T&C's, Uniform Instructions, Special Instructions, and Quick Reference Guide – Responding to R.A.'s?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17.3	Were Bid Increments set in ProcureAZ, and of appropriate intervals, for the R.A.?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17.4	Was Soft Close Enabled?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.18	Contract Administration					
6.2.18.1	Are contract files and records complete and available for public inspection? – note "persons with disabilities" (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	6.2.1, 6.2.10
6.2.18.2	Is there a valid and current Certificate of Insurance on file? (ARS §41-2573)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.18.3	Are the amounts on the Certificate of Insurance consistent with the contract requirements? (ARS §41-2573)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.18.4	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.18.5	For multi-term contracts, are there written determinations of extension in the contract files (>5 years)? (R2-7-605. A to C)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
6.2.1	Procurement officer should obtain original written procurement request for product/service and upload to the procurement file.	Procurement Officer	ASAP
6.2.10	Procurement officer should obtain the state employee signed Procurement Disclosure Statement and upload to the procurement file.	Procurement Officer	ASAP

6.2.1 6.2.10	CPO should instruct procurement staff to ensure items are obtained, procedures implemented to obtain in the future, and items are present in the procurement file.	CPO	ASAP & Ongoing
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**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria is used for each representative contract.

Invitation for Bids (IFB)	
Contract Number:	ADHS15-080540
Contract Title or Description:	Locum Tenens Psychiatry and Nurse Practitioner for AZ State Hospital
Contract Estimated Aggregate Amount:	>\$100,000

6.2B	Invitation for Bids (IFB)	N/A	Yes	No	Requires Action	Comments
6.2.1	Is there a Procurement Request, in writing, on file (Requisition(ProcAZ) /Email/Other)? (Req copy) (R2-7-205)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Solicitation addresses need for Arizona State Hospital, however the file does not contain specific written request from office/division for the service as a pre-solicitation document: applicable pertinent information. Contract not linked to requisition in ProcureAZ.
6.2.2	Should a set-aside or statewide contract been considered/used?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.3	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Approved by Deputy CPO
6.2.4	Was there adequate notice, a minimum of 14 days before bid opening, of the IFB in a newspaper? (Svcs shall, commodities may - excluding professional / construction) (ARS §41-2533.C, R2-7-B301)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.5	If a Pre-Offer Conference was conducted, was it held a reasonably sufficient time before the offer due date? (R2-7-B302; TB# 043)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.6	Does the solicitation include the most recent edition of Uniform Instructions and Uniform Terms and Conditions issued by SPO – SPO Website: http://spo.az.gov ? (R2-7-B301 and R2-	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	7-C301)					
6.2.7	Does the solicitation include instructions to offerors, including: (R2-7-B301.C.1)					
6.2.7.1	Offer Due Date/Time, Location where offers will be received, offer acceptance period.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.2	The deadline date for requesting a substitution or exception to the solicitation.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.3	Manner by which to acknowledge amendments – for material changes (TB# 043) (Proc AZ Quote/Summary)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.4	Minimum information required in the offer.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.5	The specific requirements for designating trade secrets and other proprietary information as confidential. If trade secret, does the CPO confirm 1.) What steps the vendor has taken to protect their information, and 2.) What would be harmed by the disclosure of the information?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.6	Any specific responsibility criteria.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.7	Whether the offeror is required to submit samples, descriptive literature, and technical data with the offer.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.8	Any evaluation criteria.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.8.1	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.9	A statement of where documents incorporated by reference are available for inspection and copying.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.10	A statement that the agency may cancel the solicitation or reject an offer in whole or in part.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.11	Certification by the offeror that submission of the offer did not include collusion or other anticompetitive practices.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.12	Certification by the offeror of compliance with A.R.S. § 41-3532 when offering electronics or information technology products, services, or maintenance (Section 508).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6.2.7.13	The term of the contract, including language for any applicable option for contract extension (ProcAZ Max/Control). (R2-7-B301.C.3)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.8	Was the appropriate insurance module used in the solicitation? (ARS §41-621, ARS §23-901)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.9	Did the bid generate a sufficient number of qualified bidders? (ARS §41-2533, §41-2534)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.10	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	No PDS attached to file of record for requisitioning employee initiating solicitation.
6.2.11	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Procurement not listed on SPO list of significant procurement activities.
6.2.12	Was the contract awarded to the lowest responsible and responsive offeror whose offer conforms in all material respects to the requirements and criteria in the solicitation? (R2-7-B314.A; SP# 043)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.13	If applicable, is there a non-responsibility determination on file? (R2-7-B313)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.14	Is there a record showing the basis for determining the successful offeror on file? (R2-7-B314.B)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.15	Were all offerors notified of the award, if ProcureAZ wasn't used? (R2-7-314.D)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.16	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6.2.16.1	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.16.2	Does the file contain adequate justification for multiple awards, or otherwise obtained SPA authorization? (R2-7-608).	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	File does not contain justification for multiple award.
6.2.17	If Reverse Auction (SPO SP#025)					
6.2.17.1	Was the commodity appropriate for a reverse auction?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17.2	Were vendors notified via Bulk Email, including Offer & Acceptance, Specifications, Uniform T&C's, Special T&C's, Uniform Instructions, Special Instructions, and Quick Reference Guide – Responding to R.A.'s?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17.3	Were Bid Increments set in ProcureAZ, and of appropriate intervals, for the R.A.?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17.4	Was Soft Close Enabled?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.18	Contract Administration					
6.2.18.1	Are contract files and records complete and available for public inspection? – note "persons with disabilities" (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	6.2.1, 6.2.10, 6.2.16.2
6.2.18.2	Is there a valid and current Certificate of Insurance on file? (ARS §41-2573)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	COI in file expired 10/22/14.
6.2.18.3	Are the amounts on the Certificate of Insurance consistent with the contract requirements? (ARS §41-2573)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.18.4	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.18.5	For multi-term contracts, are there written determinations of extension in the contract files (>5 years)? (R2-7-605. A to C)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
6.2.1	Procurement officer should obtain original written procurement request for product/service and upload to the procurement file.	Procurement Officer	ASAP
6.2.10	Procurement officer should obtain the state employee signed Procurement Disclosure Statement and upload to the procurement file.	Procurement Officer	ASAP

6.2.11	CPO should instruct procurement staff regarding communication of significant procurement activity to SPO, and monitor communication of significant procurement activities to SPO.	CPO	ASAP & Ongoing
6.2.16.2	Procurement officer should obtain the multiple award justification with CPO or SPA approval and upload to the procurement file.	Procurement Officer	ASAP
6.2.18.2	Procurement officer should obtain up-to-date certificate of insurance and upload to the procurement file.	Procurement Officer	ASAP
6.2.1 6.2.10 6.2.16.2 6.2.18.2	CPO should instruct procurement staff to ensure items are obtained, procedures implemented to obtain in the future, and items are present in the procurement file.	CPO	ASAP & Ongoing

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria is used for each representative contract.

Invitation for Bids (IFB)	
Contract Number:	ADHS14-075630
Contract Title or Description:	Education Materials
Contract Estimated Aggregate Amount:	>\$100,000

6.2C	Invitation for Bids (IFB)	N/A	Yes	No	Requires Action	Comments
6.2.1	Is there a Procurement Request, in writing, on file (Requisition(ProcAZ) /Email/Other)? (Req copy) (R2-7-205)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Solicitation addresses need for education materials however the file does not contain specific written request from office/division for the service as a pre-solicitation document: applicable pertinent information. Contract not linked to requisition in ProcureAZ.
6.2.2	Should a set-aside or statewide contract been considered/used?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.3	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	CPO approved
6.2.4	Was there adequate notice, a minimum of 14 days before bid opening, of the IFB in a newspaper? (Svcs shall, commodities may - excluding professional / construction) (ARS §41-2533.C, R2-7-B301)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.5	If a Pre-Offer Conference was conducted, was it held a reasonably sufficient time before the offer due date? (R2-7-B302; TB# 043)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.6	Does the solicitation include the most recent edition of Uniform Instructions and Uniform Terms and Conditions issued by SPO – SPO Website: http://spo.az.gov ? (R2-7-B301 and R2-7-C301)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6.2.7	Does the solicitation include instructions to offerors, including: (R2-7-B301.C.1)					
6.2.7.1	Offer Due Date/Time, Location where offers will be received, offer acceptance period.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.2	The deadline date for requesting a substitution or exception to the solicitation.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.3	Manner by which to acknowledge amendments – for material changes (TB# 043) (Proc AZ Quote/Summary)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.4	Minimum information required in the offer.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.5	The specific requirements for designating trade secrets and other proprietary information as confidential. If trade secret, does the CPO confirm 1.) What steps the vendor has taken to protect their information, and 2.) What would be harmed by the disclosure of the information?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.6	Any specific responsibility criteria.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.7	Whether the offeror is required to submit samples, descriptive literature, and technical data with the offer.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.8	Any evaluation criteria.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.8.1	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.9	A statement of where documents incorporated by reference are available for inspection and copying.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.10	A statement that the agency may cancel the solicitation or reject an offer in whole or in part.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.11	Certification by the offeror that submission of the offer did not include collusion or other anticompetitive practices.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.12	Certification by the offeror of compliance with A.R.S. § 41-3532 when offering electronics or information technology products, services, or maintenance (Section 508).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6.2.7.13	The term of the contract, including language for any applicable option for contract extension (ProcAZ Max/Control). (R2-7-B301.C.3)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.8	Was the appropriate insurance module used in the solicitation? (ARS §41-621, ARS §23-901)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.9	Did the bid generate a sufficient number of qualified bidders? (ARS §41-2533, §41-2534)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.10	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	No PDS attached to file of record for requisitioning employee initiating solicitation.
6.2.11	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.12	Was the contract awarded to the lowest responsible and responsive offeror whose offer conforms in all material respects to the requirements and criteria in the solicitation? (R2-7-B314.A; SP# 043)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.13	If applicable, is there a non-responsibility determination on file? (R2-7-B313)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.14	Is there a record showing the basis for determining the successful offeror on file? (R2-7-B314.B)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.15	Were all offerors notified of the award, if ProcureAZ wasn't used? (R2-7-314.D)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.16	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6.2.16.1	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.16.2	Does the file contain adequate justification for multiple awards, or otherwise obtained SPA authorization? (R2-7-608).	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17	If Reverse Auction (SPO SP#025)					
6.2.17.1	Was the commodity appropriate for a reverse auction?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17.2	Were vendors notified via Bulk Email, including Offer & Acceptance, Specifications, Uniform T&C's, Special T&C's, Uniform Instructions, Special Instructions, and Quick Reference Guide – Responding to R.A.'s?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17.3	Were Bid Increments set in ProcureAZ, and of appropriate intervals, for the R.A.?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17.4	Was Soft Close Enabled?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.18	Contract Administration					
6.2.18.1	Are contract files and records complete and available for public inspection? – note “persons with disabilities” (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	6.2.1, 6.2.10
6.2.18.2	Is there a valid and current Certificate of Insurance on file? (ARS §41-2573)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	No certificate of insurance in file
6.2.18.3	Are the amounts on the Certificate of Insurance consistent with the contract requirements? (ARS §41-2573)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.18.4	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.18.5	For multi-term contracts, are there written determinations of extension in the contract files (>5 years)? (R2-7-605. A to C)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
6.2.1	Procurement officer should obtain original written procurement request for product/service and upload to the procurement file.	Procurement Officer	ASAP
6.2.10	Procurement officer should obtain the state employee signed Procurement Disclosure Statement and upload to the procurement file.	Procurement Officer	ASAP

6.2.18.2	Procurement officer should obtain up-to-date certificate of insurance and upload to the procurement file.	Procurement Officer	ASAP
6.2.1 6.2.10 6.2.18.2	CPO should instruct procurement staff to ensure items are obtained, procedures implemented to obtain in the future, and items are present in the procurement file.	CPO	ASAP & Ongoing

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria is used for each representative solicitation or contract.

Request for Proposals (RFP)	
Solicitation or Contract Number:	ADHS14-064595
Contract Title or Description:	Well Women Healthcheck Program
Contract Estimated Amount:	>\$100,000

6.3A	Request for Proposals (RFP)	N/A	Yes	No	Requires Action	Comments
6.3.1	Is there a Procurement Request, in writing, on file (Requisition(ProcAZ) /Email/Other) (Req copy)? (R2-7-205)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Solicitation addresses need for Well Women Healthcheck Program, however the file does not contain specific written request from office/division for the service as a pre-solicitation document: applicable pertinent information. Contract not linked to requisition in ProcureAZ.
6.3.2	Should a set-aside or statewide contract been considered/used?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.3	Was this procurement performed by authorized procurement personnel within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Approved by CPO
6.3.4	Was there adequate notice, a minimum of 14 days before bid opening, of the RFP in a newspaper? (Svcs only - excluding professional / construction) (ARS §41-2533.C, R2-7-B301)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	No evidence in file the solicitation was publicized a minimum of 14 days before bid opening.
6.3.5	Are the evaluation factors set forth in the solicitation and listed in relative order of importance? (ARS §41-2534.E)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.6	Were the evaluation criteria fair and appropriate to the solicitation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.7	Does the solicitation include Scope of Work/Specifications and Terms and	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Conditions? (R2-7-C301)						
6.3.8	Does the solicitation include instructions to offerors, including: (R2-7-C301.E.1)					
6.3.8.1	Offer Due Date/Time, Location where offers will be received, offer acceptance period. Specify whether hand delivery, U.S. Mail, electronic mail, facsimile, or other means are acceptable methods of submission.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.2	The deadline date for requesting a substitution or exception to the solicitation.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.3	Manner by which to acknowledge amendments – for material changes (TB# 043) (Proc AZ Quote/Summary)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.4	Minimum information required in the offer.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.5	The specific requirements for designating trade secrets and other proprietary information as confidential. If trade secret, does the CPO confirm 1.) What steps the vendor has taken to protect their information, and 2.) What would be harmed by the disclosure of the information?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.6	Specific responsibility or susceptibility criteria. (RFP – TB47 – Attachment 1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.7	Whether the offeror is required to submit samples, descriptive literature, and technical data with the offer.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.8	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.9	A statement of where documents incorporated by reference are available for inspection and copying.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.10	A statement that the agency may cancel the solicitation or reject an offer in whole or in part.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.11	Certification by the offeror that submission of the offer did not include collusion or other anticompetitive practices.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.12	Certification by the offeror of compliance with A.R.S. § 41-2532 when offering electronics or information technology	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	products, services, or maintenance (508 Compliance).					
6.3.8.13	Any cost or pricing data required.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.14	The type of contract to be used.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.15	That the offeror is required to declare whether the offeror has been debarred, suspended, or otherwise lawfully prohibited from participating in any public procurement activity, including, but not limited to, being disapproved as a subcontractor of any public procurement unit or other governmental body.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.16	Any offer security required.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.17	A statement that negotiations may be conducted with offerors reasonably susceptible of being selected for award and that fall within the competitive range.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.18	The term of the contract, including language for any applicable option for contract extension (ProcAZ Max/Control). (R2-7-C301.E.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.9	Was the appropriate insurance module used in the solicitation? (ARS §41-621, ARS §41-901)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.10	Did the RFP generate a sufficient number of qualified offerors, and if not is there a written determination in file?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.11	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.12	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.13	Were the offers evaluated based on the evaluation criteria contained in the RFP? (R2-7-C316)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.13.1	Was a kick-off meeting with the	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	evaluation committee held to review the plan, discuss the solicitation, and agree on a schedule? (Request sign-in)(SPO SP# 043)					
6.3.13.2	Did each evaluation committee member review each offer independently? (SPO SP# 043).	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.14	Was the contract awarded to the responsible offeror whose offer is determined to be most advantageous to the state based on the evaluation factors set forth in the RFP? (R2-7-C317)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.15	Is there a written determination explaining the basis for the award on file? (R2-7B314.B)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.16	Were all offerors notified of the award, if ProcureAZ wasn't used? (R2-7-314.D)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17.1	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Bid Holder list was unchecked – viewable to public.
6.3.17.2	Does the file contain adequate justification for multiple awards, or otherwise obtained SPA authorization? (R2-7-608).	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.18	Contract Administration					
6.3.18.1	Are contract files and records complete and available for public inspection? – note “persons with disabilities” (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	6.3.1, 6.3.4
6.3.18.2	Is there a valid and current Certificate of Insurance on file, with amounts consistent with contract requirements? (ARS §41-2573)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.18.3	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6.3.18.4	For multi-term contracts, are there written determinations of extension in the contract files (>5 years)? (R2-7-605 paragraphs A-C)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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Item No.	Recommendations	Assigned to	Estimated Completion
6.3.1	Procurement officer should obtain original written procurement request for product/service and upload to the procurement file.	Procurement Officer	ASAP
6.3.4	Procurement officer should obtain confirmation from newspaper of publication of legal notice and upload to the procurement file.	Procurement Officer	ASAP
6.3.1 6.3.4	CPO should instruct procurement staff to ensure items are obtained, procedures implemented to obtain in the future, and items are present in the procurement file.	CPO	ASAP & Ongoing

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria is used for each representative solicitation or contract.

Request for Proposals (RFP)	
Solicitation or Contract Number:	ADHS15-083139
Contract Title or Description:	Fit at Fifty HealthCheck Program
Contract Estimated Amount:	>\$100,000

6.3B	Request for Proposals (RFP)	N/A	Yes	No	Requires Action	Comments
6.3.1	Is there a Procurement Request, in writing, on file (Requisition(ProcAZ) /Email/Other) (Req copy)? (R2-7-205)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Solicitation addresses need for Healthcheck Program, however the file does not contain specific written request from office/division for the service as a pre-solicitation document: applicable pertinent information. Contract not linked to requisition in ProcureAZ.
6.3.2	Should a set-aside or statewide contract been considered/used?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.3	Was this procurement performed by authorized procurement personnel within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Approved by CPO
6.3.4	Was there adequate notice, a minimum of 14 days before bid opening, of the RFP in a newspaper? (Svcs only - excluding professional / construction) (ARS §41-2533.C, R2-7-B301)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	No evidence in file the solicitation was publicized a minimum of 14 days before bid opening.
6.3.5	Are the evaluation factors set forth in the solicitation and listed in relative order of importance? (ARS §41-2534.E)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.6	Were the evaluation criteria fair and appropriate to the solicitation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.7	Does the solicitation include Scope of Work/Specifications and Terms and Conditions? (R2-7-C301)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6.3.8	Does the solicitation include instructions to offerors, including: (R2-7-C301.E.1)					
6.3.8.1	Offer Due Date/Time, Location where offers will be received, offer acceptance period. Specify whether hand delivery, U.S. Mail, electronic mail, facsimile, or other means are acceptable methods of submission.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.2	The deadline date for requesting a substitution or exception to the solicitation.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.3	Manner by which to acknowledge amendments – for material changes (TB# 043) (Proc AZ Quote/Summary)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.4	Minimum information required in the offer.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.5	The specific requirements for designating trade secrets and other proprietary information as confidential. If trade secret, does the CPO confirm 1.) What steps the vendor has taken to protect their information, and 2.) What would be harmed by the disclosure of the information?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.6	Specific responsibility or susceptibility criteria. (RFP – TB47 – Attachment 1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.7	Whether the offeror is required to submit samples, descriptive literature, and technical data with the offer.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.8	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.9	A statement of where documents incorporated by reference are available for inspection and copying.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.10	A statement that the agency may cancel the solicitation or reject an offer in whole or in part.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.11	Certification by the offeror that submission of the offer did not include collusion or other anticompetitive practices.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.12	Certification by the offeror of compliance with A.R.S. § 41-2532 when offering electronics or information technology products, services, or maintenance (508	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	Compliance).					
6.3.8.13	Any cost or pricing data required.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.14	The type of contract to be used.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.15	That the offeror is required to declare whether the offeror has been debarred, suspended, or otherwise lawfully prohibited from participating in any public procurement activity, including, but not limited to, being disapproved as a subcontractor of any public procurement unit or other governmental body.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.16	Any offer security required.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.17	A statement that negotiations may be conducted with offerors reasonably susceptible of being selected for award and that fall within the competitive range.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.18	The term of the contract, including language for any applicable option for contract extension (ProcAZ Max/Control). (R2-7-C301.E.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.9	Was the appropriate insurance module used in the solicitation? (ARS §41-621, ARS §41-901)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.10	Did the RFP generate a sufficient number of qualified offerors, and if not is there a written determination in file?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.11	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	State employee evaluator PDS forms not attached to file of record.
6.3.12	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.13	Were the offers evaluated based on the evaluation criteria contained in the RFP? (R2-7-C316)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.13.1	Was a kick-off meeting with the evaluation committee held to review the	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	plan, discuss the solicitation, and agree on a schedule? (Request sign-in)(SPO SP# 043)					
6.3.13.2	Did each evaluation committee member review each offer independently? (SPO SP# 043).	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.14	Was the contract awarded to the responsible offeror whose offer is determined to be most advantageous to the state based on the evaluation factors set forth in the RFP? (R2-7-C317)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.15	Is there a written determination explaining the basis for the award on file? (R2-7B314.B)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.16	Were all offerors notified of the award, if ProcureAZ wasn't used? (R2-7-314.D)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17.1	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17.2	Does the file contain adequate justification for multiple awards, or otherwise obtained SPA authorization? (R2-7-608).	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.18	Contract Administration					
6.3.18.1	Are contract files and records complete and available for public inspection? – note “persons with disabilities” (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	6.3.1, 6.3.4, 6.3.11
6.3.18.2	Is there a valid and current Certificate of Insurance on file, with amounts consistent with contract requirements? (ARS §41-2573)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.18.3	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.18.4	For multi-term contracts, are there	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	written determinations of extension in the contract files (>5 years)? (R2-7-605 paragraphs A-C)						
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Item No.	Recommendations	Assigned to	Estimated Completion
6.3.1	Procurement officer should obtain original written procurement request for product/service and upload to the procurement file.	Procurement Officer	ASAP
6.3.4	Procurement officer should obtain confirmation from newspaper of publication of legal notice and upload to the procurement file.	Procurement Officer	ASAP
6.3.11	Procurement officer should obtain the state employee signed Procurement Disclosure Statement and upload to the procurement file.	Procurement Officer	ASAP
6.3.1 6.3.4 6.3.11	CPO should instruct procurement staff to ensure items are obtained, procedures implemented to obtain in the future, and items are present in the procurement file.	CPO	ASAP & Ongoing

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria is used for each representative solicitation or contract.

Request for Proposals (RFP)	
Solicitation or Contract Number:	ADHS14-059738
Contract Title or Description:	Tribal Teen Pregnancy Prevention Abstinence Plus Ed.
Contract Estimated Amount:	>\$100,000

6.3C	Request for Proposals (RFP)	N/A	Yes	No	Requires Action	Comments
6.3.1	Is there a Procurement Request, in writing, on file (Requisition(ProcAZ) /Email/Other) (Req copy)? (R2-7-205)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.2	Should a set-aside or statewide contract been considered/used?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.3	Was this procurement performed by authorized procurement personnel within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Approved by Deputy CPO
6.3.4	Was there adequate notice, a minimum of 14 days before bid opening, of the RFP in a newspaper? (Svcs only - excluding professional / construction) (ARS §41-2533.C, R2-7-B301)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<p>Requested publication of RFP in newspaper for 09/17/13 (9 days prior to bid opening), actually published 09/18/13 (8 days prior to bid opening) – bid opening 09/26/13.</p> <p>Note: Office submit request on 09/12/13 (14 days prior), but requested post-dating to 09/17/13.</p> <p>No evidence of D/CPO determination for shorter publication.</p>
6.3.5	Are the evaluation factors set forth in the solicitation and listed in relative order of importance? (ARS §41-2534.E)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.6	Were the evaluation criteria fair and	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	appropriate to the solicitation?					
6.3.7	Does the solicitation include Scope of Work/Specifications and Terms and Conditions? (R2-7-C301)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8	Does the solicitation include instructions to offerors, including: (R2-7-C301.E.1)					
6.3.8.1	Offer Due Date/Time, Location where offers will be received, offer acceptance period. Specify whether hand delivery, U.S. Mail, electronic mail, facsimile, or other means are acceptable methods of submission.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.2	The deadline date for requesting a substitution or exception to the solicitation.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.3	Manner by which to acknowledge amendments – for material changes (TB# 043) (Proc AZ Quote/Summary)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.4	Minimum information required in the offer.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.5	The specific requirements for designating trade secrets and other proprietary information as confidential. If trade secret, does the CPO confirm 1.) What steps the vendor has taken to protect their information, and 2.) What would be harmed by the disclosure of the information?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.6	Specific responsibility or susceptibility criteria. (RFP – TB47 – Attachment 1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.7	Whether the offeror is required to submit samples, descriptive literature, and technical data with the offer.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.8	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.9	A statement of where documents incorporated by reference are available for inspection and copying.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.10	A statement that the agency may cancel the solicitation or reject an offer in whole or in part.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.11	Certification by the offeror that submission of the offer did not include collusion or other anticompetitive practices.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6.3.8.12	Certification by the offeror of compliance with A.R.S. § 41-2532 when offering electronics or information technology products, services, or maintenance (508 Compliance).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.13	Any cost or pricing data required.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.14	The type of contract to be used.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.15	That the offeror is required to declare whether the offeror has been debarred, suspended, or otherwise lawfully prohibited from participating in any public procurement activity, including, but not limited to, being disapproved as a subcontractor of any public procurement unit or other governmental body.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.16	Any offer security required.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.17	A statement that negotiations may be conducted with offerors reasonably susceptible of being selected for award and that fall within the competitive range.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.18	The term of the contract, including language for any applicable option for contract extension (ProcAZ Max/Control). (R2-7-C301.E.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.9	Was the appropriate insurance module used in the solicitation? (ARS §41-621, ARS §41-901)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.10	Did the RFP generate a sufficient number of qualified offerors, and if not is there a written determination in file?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.11	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	State employee evaluator PDS forms not attached to file of record.
6.3.12	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.13	Were the offers evaluated based on the	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	evaluation criteria contained in the RFP? (R2-7-C316)					
6.3.13.1	Was a kick-off meeting with the evaluation committee held to review the plan, discuss the solicitation, and agree on a schedule? (Request sign-in)(SPO SP# 043)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.13.2	Did each evaluation committee member review each offer independently? (SPO SP# 043).	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.14	Was the contract awarded to the responsible offeror whose offer is determined to be most advantageous to the state based on the evaluation factors set forth in the RFP? (R2-7-C317)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.15	Is there a written determination explaining the basis for the award on file? (R2-7B314.B)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.16	Were all offerors notified of the award, if ProcureAZ wasn't used? (R2-7-314.D)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17.1	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17.2	Does the file contain adequate justification for multiple awards, or otherwise obtained SPA authorization? (R2-7-608).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.18	Contract Administration					
6.3.18.1	Are contract files and records complete and available for public inspection? – note “persons with disabilities” (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	6.3.11
6.3.18.2	Is there a valid and current Certificate of Insurance on file, with amounts consistent with contract requirements? (ARS §41-2573)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Certificate of Insurance in file expired 04/01/2014.

6.3.18.3	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.18.4	For multi-term contracts, are there written determinations of extension in the contract files (>5 years)? (R2-7-605 paragraphs A-C)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
6.3.4	Procurement officer should obtain original CPO determination that fewer than 14 days was necessary and upload to the procurement file.	Procurement Officer	ASAP
6.3.11	Procurement officer should obtain the state employee signed Procurement Disclosure Statement and upload to the procurement file.	Procurement Officer	ASAP
6.3.18.2	Procurement officer should obtain up-to-date certificate of insurance and upload to the procurement file.	Procurement Officer	ASAP
6.3.4 6.3.11 6.3.18.2	CPO should instruct procurement staff to ensure items are obtained, procedures implemented to obtain in the future, and items are present in the procurement file.	CPO	ASAP & Ongoing

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria is used for each representative solicitation or contract.

Item No.	Compliance Criteria			
7.0	Sole Source, Emergency, Competition Impracticable			

Sole Source Procurement	
Contract Number:	ADHS14-060671
Contract Title or Description:	Seresto Tick Collars
Contract Estimated Amount:	\$200,000 (\$40k annually x 5 years)

7.1A	Sole Source Procurement	N/A	Yes	No	Requires Action	Comments
7.1.1	Is there a Procurement Request, in writing, on file (Requisition/Email/Other)? (Req copy) (R2-7-205 and R2-7-E301)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	The file does not contain specific written request from office/division for the product. Contract not linked to requisition in ProcureAZ.
7.1.2	Does the procurement request include the following? (TB 041)					
7.1.2.1	Description of the procurement need, the efforts made to seek alternative sources, and the reason why there is only a single source available (R2-7-E301.B.1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.2.2	Name of the proposed supplier (R2-7-E301.B.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.2.3	Duration and estimated total dollar value of the proposed procurement (R2-7-E301.B.3)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.2.4	Documentation that the price is fair and reasonable (R2-7-702; R2-7-E301.B.4)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Although procurement file contains quotes from vendor, the file does not contain documentation that the price is fair & reasonable to the market (non-ProcureAZ vendor pricing for comparable products?)
						Approved by Deputy CPO

7.1.2.5	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.2.6	Is there a written determination that there is only one source for the required material or service, and that no reasonable alternative source is available? (ARS §41-2536 and R2-7-E301)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.2.7	Were registered vendors invited to comment on the sole source procurement at least 3 days before determination was made? (R2-7-E301.C)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Per SS determination request – no other documentation in file.
7.1.2.8	Was the sole source procurement approved and did the procurement officer negotiate a contract that was advantageous to the State? (R2-7-E301.D)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	7.1.2.4
7.1.2.9	Did the agency include the State's uniform terms and conditions in this contract? (ARS §41-2585; R2-7-606.A)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.3	Are Procurement Disclosure Statements in file for all who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.3.1	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.4	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.5	Contract Administration					
7.1.5.1	Are contract files and records complete and available for public inspection? (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	7.1.1

7.1.5.2	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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Item No.	Recommendations	Assigned to	Estimated Completion
7.1.1	Procurement officer should obtain original written procurement request for product/service and upload to the procurement file.	Procurement Officer	ASAP
7.1.1	CPO should instruct procurement staff to ensure items are obtained, procedures implemented to obtain in the future, and items are present in the procurement file.	CPO	ASAP & Ongoing
7.1.2.4	CPO should review sole source negotiating strategies with procurement staff to ensure the best interest of the state are assured.	CPO	ASAP & Ongoing
7.1.2.7	Although not required per code, technical bulletin, or standard procedure, <u>as a best practice</u> it is recommended the CPO instruct the staff, for Sole Source procurements, to invite vendors to comment via email and, the procurement officer, carbon copy themselves the email. Then upload the email as evidence of the date, time, and recipients of the invitation.	CPO	ASAP & Ongoing

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The following criteria is used for each representative solicitation or contract.

Sole Source Procurement	
Contract Number:	ADHS14-067383
Contract Title or Description:	Consumable Supplies
Contract Estimated Amount:	\$75,000 (\$15,000 annually x 5 years)

7.1B	Sole Source Procurement	N/A	Yes	No	Requires Action	Comments
7.1.1	Is there a Procurement Request, in writing, on file (Requisition/Email/Other)? (Req copy) (R2-7-205 and R2-7-E301)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	The file does not contain specific written request from office/division for the product. Contract not linked to requisition in ProcureAZ.
7.1.2	Does the procurement request include the following? (TB 041)					
7.1.2.1	Description of the procurement need, the efforts made to seek alternative sources, and the reason why there is only a single source available (R2-7-E301.B.1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.2.2	Name of the proposed supplier (R2-7-E301.B.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.2.3	Duration and estimated total dollar value of the proposed procurement (R2-7-E301.B.3)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.2.4	Documentation that the price is fair and reasonable (R2-7-702; R2-7-E301.B.4)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	SS Request does not address if price is fair and reasonable.
7.1.2.5	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Approved by CPO
7.1.2.6	Is there a written determination that there is only one source for the required material or service, and that no reasonable alternative source is available? (ARS §41-2536 and R2-7-E301)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.2.7	Were registered vendors invited to comment on the sole source	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Per SS determination request – no other

	procurement at least 3 days before determination was made? (R2-7-E301.C)					documentation in file.
7.1.2.8	Was the sole source procurement approved and did the procurement officer negotiate a contract that was advantageous to the State? (R2-7-E301.D)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	7.1.2.4
7.1.2.9	Did the agency include the State's uniform terms and conditions in this contract? (ARS §41-2585; R2-7-606.A)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.3	Are Procurement Disclosure Statements in file for all who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	No PDS attached to file of record for requisitioning employee/program-manager initiating re-solicitation.
7.1.3.1	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.4	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.5	Contract Administration					
7.1.5.1	Are contract files and records complete and available for public inspection? (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	7.1.1., 7.1.3.1
7.1.5.2	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
7.1.1	Procurement officer should obtain original written procurement request for product/service and upload to the procurement file.	Procurement Officer	ASAP

7.1.3	Procurement officer should obtain the state employee signed Procurement Disclosure Statement and upload to the procurement file.	Procurement Officer	ASAP
7.1.1 7.1.3	CPO should instruct procurement staff to ensure items are obtained, procedures implemented to obtain in the future, and items are present in the procurement file.	CPO	ASAP & Ongoing
7.1.2.4	CPO should review sole source negotiating strategies with procurement staff to ensure the best interest of the state are assured.	CPO	ASAP & Ongoing
7.1.2.7	Although not required per code, technical bulletin, or standard procedure, <u>as a best practice</u> it is recommended the CPO instruct the staff, for Sole Source procurements, to invite vendors to comment via email and, the procurement officer, carbon copy themselves the email. Then upload the email as evidence of the date, time, and recipients of the invitation.	CPO	ASAP & Ongoing

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The following criteria is used for each representative solicitation or contract.

Sole Source Procurement	
Contract Number:	ADHS15-076874
Contract Title or Description:	Masimo Pronto CO-Oximeter
Contract Estimated Amount:	\$650,000

7.1C	Sole Source Procurement	N/A	Yes	No	Requires Action	Comments
7.1.1	Is there a Procurement Request, in writing, on file (Requisition/Email/Other)? (Req copy) (R2-7-205 and R2-7-E301)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	The file does not contain specific written request from office/division for the product. Contract not linked to requisition in ProcureAZ.
7.1.2	Does the procurement request include the following? (TB 041)					
7.1.2.1	Description of the procurement need, the efforts made to seek alternative sources, and the reason why there is only a single source available (R2-7-E301.B.1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.2.2	Name of the proposed supplier (R2-7-E301.B.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.2.3	Duration and estimated total dollar value of the proposed procurement (R2-7-E301.B.3)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.2.4	Documentation that the price is fair and reasonable (R2-7-702; R2-7-E301.B.4)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	SS Request does not address if price is fair and reasonable.
7.1.2.5	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Approved by CPO
7.1.2.6	Is there a written determination that there is only one source for the required material or service, and that no reasonable alternative source is available? (ARS §41-2536 and R2-7-E301)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.2.7	Were registered vendors invited to comment on the sole source	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Per SS determination request – no other

	procurement at least 3 days before determination was made? (R2-7-E301.C)					documentation in file.
7.1.2.8	Was the sole source procurement approved and did the procurement officer negotiate a contract that was advantageous to the State? (R2-7-E301.D)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	7.1.2.4
7.1.2.9	Did the agency include the State's uniform terms and conditions in this contract? (ARS §41-2585; R2-7-606.A)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.3	Are Procurement Disclosure Statements in file for all who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.3.1	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.4	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.1.5	Contract Administration					
7.1.5.1	Are contract files and records complete and available for public inspection? (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	7.1.1
7.1.5.2	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
7.1.1	Procurement officer should obtain original written procurement request for product/service and upload to the procurement file.	Procurement Officer	ASAP

7.1.1	CPO should instruct procurement staff to ensure items are obtained, procedures implemented to obtain in the future, and items are present in the procurement file.	CPO	ASAP & Ongoing
7.1.2.4	CPO should review sole source negotiating strategies with procurement staff to ensure the best interest of the state are assured.	CPO	ASAP & Ongoing
7.1.2.7	Although not required per code, technical bulletin, or standard procedure, <u>as a best practice</u> it is recommended the CPO instruct the staff, for Sole Source procurements, to invite vendors to comment via email and, the procurement officer, carbon copy themselves the email. Then upload the email as evidence of the date, time, and recipients of the invitation.	CPO	ASAP & Ongoing

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The following criteria is used for each representative solicitation or contract.

Competition Impracticable Procurement	
Contract Number:	ADHS15-078165
Contract Title or Description:	Warehouse, Receiving, Repacking, and Distribution Services
Contract Estimated Amount:	<\$75,000/year (5 years)

7.3A	Competition Impracticable Procurement	N/A	Yes	No	Requires Action	Comments
7.3.1	Is there a Procurement Request, in writing, on file (Requisition/Email/Other)? (Req copy) (ARS §41-2537 and R2-7-E303)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	The file does not contain specific written request from office/division for the product. Contract not linked to requisition in ProcureAZ.
7.3.2	Does the procurement request include the following? (R2-7-E303.C)					
7.3.2.1	An explanation of the competition impracticable need and the unusual or unique situation that makes competitive bidding impracticable, unnecessary, or contrary to public interest. (R2-7-E303.C.1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.2	A definition of the proposed procurement process to be utilized and an explanation of how this process will foster as much competition as practicable. (R2-7-E303.C.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.3	An explanation of why the proposed procurement process is advantageous to the state. (R2-7-E303.C.3)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.4	The scope, duration, and estimated total dollar value of the procurement need (R2-7-E303.C.4)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.5	Did the agency include as much competition as was feasible and negotiated a suitable agreement while pursuing an impracticable situation? (R2-7-E303.A)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

7.3.2.6	Was there a written approval by the delegated agency CPO or by the State Procurement Administrator for this procurement? (R2-7-E303.B and D)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.7	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Approved by CPO
7.3.2.8	When this procurement was approved, did the agency negotiate a contract that was advantageous to the State? (R2-7-E303.C.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Contract is advantageous to state, however it is impossible to determine if negotiation took place.
7.3.2.9	Did the agency include the State's uniform terms and conditions in this contract? (ARS §41-2585; R2-7-606.A)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.3	Are Procurement Disclosure Statements in file for all who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	No PDS attached to file of record for requisitioning employee/program-manager initiating re-solicitation.
7.3.3.1	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Significant procurement activity not listed on SPO Website.
7.3.5	Contract Administration					
7.3.5.1	Are contract files and records complete and available for public inspection? (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	7.3.1, 7.3.3
7.3.5.2	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
7.3.1	Procurement officer should obtain original written procurement request for product/service and upload to the procurement file.	Procurement Officer	ASAP
7.3.3	Procurement officer should obtain the state employee signed Procurement Disclosure Statement and upload to the procurement file.	Procurement Officer	ASAP
7.3.1 7.3.3	CPO should instruct procurement staff to ensure items are obtained, procedures implemented to obtain in the future, and items are present in the procurement file.	CPO	ASAP & Ongoing
7.3.3.1	CPO should instruct procurement staff regarding	CPO	ASAP &

	communication of significant procurement activity to SPO, and monitor communication of significant procurement activities to SPO.		Ongoing
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The following criteria is used for each representative solicitation or contract.

Competition Impracticable Procurement	
Contract Number:	ADHS14-072466
Contract Title or Description:	Evaluation and Consultation Services for Grant Applications
Contract Estimated Amount:	\$60,000

7.3B	Competition Impracticable Procurement	N/A	Yes	No	Requires Action	Comments
7.3.1	Is there a Procurement Request, in writing, on file (Requisition/Email/Other)? (Req copy) (ARS §41-2537 and R2-7-E303)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	The file does not contain specific written request from office/division for the product. Contract not linked to requisition in ProcureAZ.
7.3.2	Does the procurement request include the following? (R2-7-E303.C)					
7.3.2.1	An explanation of the competition impracticable need and the unusual or unique situation that makes competitive bidding impracticable, unnecessary, or contrary to public interest. (R2-7-E303.C.1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.2	A definition of the proposed procurement process to be utilized and an explanation of how this process will foster as much competition as practicable. (R2-7-E303.C.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.3	An explanation of why the proposed procurement process is advantageous to the state. (R2-7-E303.C.3)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.4	The scope, duration, and estimated total dollar value of the procurement need (R2-7-E303.C.4)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.5	Did the agency include as much competition as was feasible and negotiated a suitable agreement while pursuing an impracticable situation? (R2-7-E303.A)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

7.3.2.6	Was there a written approval by the delegated agency CPO or by the State Procurement Administrator for this procurement? (R2-7-E303.B and D)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.7	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Approved by CPO
7.3.2.8	When this procurement was approved, did the agency negotiate a contract that was advantageous to the State? (R2-7-E303.C.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Contract is advantageous to state, however it is impossible to determine if negotiation took place.
7.3.2.9	Did the agency include the State's uniform terms and conditions in this contract? (ARS §41-2585; R2-7-606.A)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.3	Are Procurement Disclosure Statements in file for all who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	No PDS attached to file of record for requisitioning employee/program-manager initiating re-solicitation.
7.3.3.1	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.5	Contract Administration					
7.3.5.1	Are contract files and records complete and available for public inspection? (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	7.3.1, 7.3.3
7.3.5.2	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
7.3.1	Procurement officer should obtain original written procurement request for product/service and upload to the procurement file.	Procurement Officer	ASAP
7.3.3	Procurement officer should obtain the state employee signed Procurement Disclosure Statement and upload to the procurement file.	Procurement Officer	ASAP
7.3.1 7.3.3	CPO should instruct procurement staff to ensure items are obtained, procedures implemented to obtain in the future, and items are present in the procurement file.	CPO	ASAP & Ongoing

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria is used for each representative solicitation or contract.

Competition Impracticable Procurement	
Contract Number:	ADHS14-064395
Contract Title or Description:	Consulting Services for Compliance with A.R.S. 36-2211
Contract Estimated Amount:	\$10,000 (\$2000 x 5 years)

7.3C	Competition Impracticable Procurement	N/A	Yes	No	Requires Action	Comments
7.3.1	Is there a Procurement Request, in writing, on file (Requisition/Email/Other)? (Req copy) (ARS §41-2537 and R2-7-E303)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	The file does not contain specific written request from office/division for the product. Contract not linked to requisition in ProcureAZ.
7.3.2	Does the procurement request include the following? (R2-7-E303.C)					
7.3.2.1	An explanation of the competition impracticable need and the unusual or unique situation that makes competitive bidding impracticable, unnecessary, or contrary to public interest. (R2-7-E303.C.1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.2	A definition of the proposed procurement process to be utilized and an explanation of how this process will foster as much competition as practicable. (R2-7-E303.C.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.3	An explanation of why the proposed procurement process is advantageous to the state. (R2-7-E303.C.3)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.4	The scope, duration, and estimated total dollar value of the procurement need (R2-7-E303.C.4)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.5	Did the agency include as much competition as was feasible and negotiated a suitable agreement while pursuing an impracticable situation? (R2-7-E303.A)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.6	Was there a written approval by the					

	delegated agency CPO or by the State Procurement Administrator for this procurement? (R2-7-E303.B and D)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.7	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Approved by CPO
7.3.2.8	When this procurement was approved, did the agency negotiate a contract that was advantageous to the State? (R2-7-E303.C.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.9	Did the agency include the State's uniform terms and conditions in this contract? (ARS §41-2585; R2-7-606.A)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.3	Are Procurement Disclosure Statements in file for all who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	No PDS attached to file of record for requisitioning employee/program-manager initiating re-solicitation.
7.3.3.1	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Significant Procurement not listed on SPO Website.
7.3.5	Contract Administration					
7.3.5.1	Are contract files and records complete and available for public inspection? (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	7.3.1, 7.3.3
7.3.5.2	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
7.3.1	Procurement officer should obtain original written procurement request for product/service and upload to the procurement file.	Procurement Officer	ASAP
7.3.3	Procurement officer should obtain the state employee signed Procurement Disclosure Statement and upload to the procurement file.	Procurement Officer	ASAP
7.3.1 7.3.3	CPO should instruct procurement staff to ensure items are obtained, procedures implemented to obtain in the future, and items are present in the procurement file.	CPO	ASAP & Ongoing
7.3.3.1	CPO should instruct procurement staff regarding communication of significant procurement activity to SPO,	CPO	ASAP & Ongoing

	and monitor communication of significant procurement activities to SPO.		
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**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria is used for each representative solicitation or contract.

Competition Impracticable Procurement	
Contract Number:	ADHS14-073439
Contract Title or Description:	Arizona Bio Specimen Locator – AZ Myeloma Network
Contract Estimated Amount:	\$1,496,665

7.3D	Competition Impracticable Procurement	N/A	Yes	No	Requires Action	Comments
7.3.1	Is there a Procurement Request, in writing, on file (Requisition/Email/Other)? (Req copy) (ARS §41-2537 and R2-7-E303)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	The file does not contain specific written request from office/division for the product. Contract not linked to requisition in ProcureAZ.
7.3.2	Does the procurement request include the following? (R2-7-E303.C)					
7.3.2.1	An explanation of the competition impracticable need and the unusual or unique situation that makes competitive bidding impracticable, unnecessary, or contrary to public interest. (R2-7-E303.C.1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.2	A definition of the proposed procurement process to be utilized and an explanation of how this process will foster as much competition as practicable. (R2-7-E303.C.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.3	An explanation of why the proposed procurement process is advantageous to the state. (R2-7-E303.C.3)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.4	The scope, duration, and estimated total dollar value of the procurement need (R2-7-E303.C.4)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.5	Did the agency include as much competition as was feasible and negotiated a suitable agreement while pursuing an impracticable situation? (R2-7-E303.A)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.6	Was there a written approval by the					

	delegated agency CPO or by the State Procurement Administrator for this procurement? (R2-7-E303.B and D)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.7	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Approved by CPO
7.3.2.8	When this procurement was approved, did the agency negotiate a contract that was advantageous to the State? (R2-7-E303.C.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Contract is advantageous to state, however it is impossible to determine if negotiation took place.
7.3.2.9	Did the agency include the State's uniform terms and conditions in this contract? (ARS §41-2585; R2-7-606.A)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.3	Are Procurement Disclosure Statements in file for all who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	No PDS attached to file of record for requisitioning employee/program-manager initiating re-solicitation.
7.3.3.1	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Significant Procurement not listed on SPO Website.
7.3.5	Contract Administration					
7.3.5.1	Are contract files and records complete and available for public inspection? (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	7.3.1, 7.3.3
7.3.5.2	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
7.3.1	Procurement officer should obtain original written procurement request for product/service and upload to the procurement file.	Procurement Officer	ASAP
7.3.3	Procurement officer should obtain the state employee signed Procurement Disclosure Statement and upload to the procurement file.	Procurement Officer	ASAP
7.3.1 7.3.3	CPO should instruct procurement staff to ensure items are obtained, procedures implemented to obtain in the future, and items are present in the procurement file.	CPO	ASAP & Ongoing
7.3.3.1	CPO should instruct procurement staff regarding communication of significant procurement activity to SPO,	CPO	ASAP & Ongoing

	and monitor communication of significant procurement activities to SPO.		
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**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria is used for each representative solicitation or contract.

Competition Impracticable Procurement	
Contract Number:	ADHS14-060468
Contract Title or Description:	Dental Sealant Services
Contract Estimated Amount:	\$300,000 Annually

7.3E	Competition Impracticable Procurement	N/A	Yes	No	Requires Action	Comments
7.3.1	Is there a Procurement Request, in writing, on file (Requisition/Email/Other)? (Req copy) (ARS §41-2537 and R2-7-E303)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	The file does not contain specific written request from office/division for the product. Contract not linked to requisition in ProcureAZ.
7.3.2	Does the procurement request include the following? (R2-7-E303.C)					
7.3.2.1	An explanation of the competition impracticable need and the unusual or unique situation that makes competitive bidding impracticable, unnecessary, or contrary to public interest. (R2-7-E303.C.1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.2	A definition of the proposed procurement process to be utilized and an explanation of how this process will foster as much competition as practicable. (R2-7-E303.C.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.3	An explanation of why the proposed procurement process is advantageous to the state. (R2-7-E303.C.3)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.4	The scope, duration, and estimated total dollar value of the procurement need (R2-7-E303.C.4)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.5	Did the agency include as much competition as was feasible and negotiated a suitable agreement while pursuing an impracticable situation? (R2-7-E303.A)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	While the CI determination clearly explains why Sun Life is qualified to conduct the service needed, it is not clear that competition was

						necessarily impracticable to solicit for the SOW Sun Life was able to satisfy.
7.3.2.6	Was there a written approval by the delegated agency CPO or by the State Procurement Administrator for this procurement? (R2-7-E303.B and D)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.7	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Approved by Deputy CPO
7.3.2.8	When this procurement was approved, did the agency negotiate a contract that was advantageous to the State? (R2-7-E303.C.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Contract is advantageous to state, however it is impossible to determine if negotiation took place.
7.3.2.9	Did the agency include the State's uniform terms and conditions in this contract? (ARS §41-2585; R2-7-606.A)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.3	Are Procurement Disclosure Statements in file for all who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.3.1	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.5	Contract Administration					
7.3.5.1	Are contract files and records complete and available for public inspection? (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	7.1.3
7.3.5.2	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
7.3.1	Procurement officer should obtain original written procurement request for product/service and upload to the procurement file.	Procurement Officer	ASAP
7.3.1	CPO should instruct procurement staff to ensure items are obtained, procedures implemented to obtain in the future, and items are present in the procurement file.	CPO	ASAP & Ongoing

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria is used for each representative solicitation or contract.

Competition Impracticable Procurement	
Contract Number:	ADHS14-070250
Contract Title or Description:	HRPP/NICP Inpatient Hospital Services
Contract Estimated Amount:	\$2,421.92

7.3F	Competition Impracticable Procurement	N/A	Yes	No	Requires Action	Comments
7.3.1	Is there a Procurement Request, in writing, on file (Requisition/Email/Other)? (Req copy) (ARS §41-2537 and R2-7-E303)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2	Does the procurement request include the following? (R2-7-E303.C)					
7.3.2.1	An explanation of the competition impracticable need and the unusual or unique situation that makes competitive bidding impracticable, unnecessary, or contrary to public interest. (R2-7-E303.C.1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.2	A definition of the proposed procurement process to be utilized and an explanation of how this process will foster as much competition as practicable. (R2-7-E303.C.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.3	An explanation of why the proposed procurement process is advantageous to the state. (R2-7-E303.C.3)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.4	The scope, duration, and estimated total dollar value of the procurement need (R2-7-E303.C.4)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.5	Did the agency include as much competition as was feasible and negotiated a suitable agreement while pursuing an impracticable situation? (R2-7-E303.A)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.6	Was there a written approval by the delegated agency CPO or by the State Procurement Administrator for this	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	procurement? (R2-7-E303.B and D)					
7.3.2.7	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Approved by CPO
7.3.2.8	When this procurement was approved, did the agency negotiate a contract that was advantageous to the State? (R2-7-E303.C.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.9	Did the agency include the State's uniform terms and conditions in this contract? (ARS §41-2585; R2-7-606.A)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.3	Are Procurement Disclosure Statements in file for all who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	APDS on file for procurement officer – CI was for 60 day extension to current contract pending execution of new contract awarded.
7.3.3.1	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.5	Contract Administration					
7.3.5.1	Are contract files and records complete and available for public inspection? (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.5.2	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria is used for each representative solicitation or contract.

Competition Impracticable Procurement	
Contract Number:	ADHS14-061225
Contract Title or Description:	AZ Loan Repayment Program (Shoshtarkj)
Contract Estimated Amount:	\$350,000 Annually

7.3G	Competition Impracticable Procurement	N/A	Yes	No	Requires Action	Comments
7.3.1	Is there a Procurement Request, in writing, on file (Requisition/Email/Other)? (Req copy) (ARS §41-2537 and R2-7-E303)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	The file does not contain specific written request from office/division for the product. Contract not linked to requisition in ProcureAZ.
7.3.2	Does the procurement request include the following? (R2-7-E303.C)					
7.3.2.1	An explanation of the competition impracticable need and the unusual or unique situation that makes competitive bidding impracticable, unnecessary, or contrary to public interest. (R2-7-E303.C.1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.2	A definition of the proposed procurement process to be utilized and an explanation of how this process will foster as much competition as practicable. (R2-7-E303.C.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.3	An explanation of why the proposed procurement process is advantageous to the state. (R2-7-E303.C.3)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.4	The scope, duration, and estimated total dollar value of the procurement need (R2-7-E303.C.4)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.5	Did the agency include as much competition as was feasible and negotiated a suitable agreement while pursuing an impracticable situation? (R2-7-E303.A)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.6	Was there a written approval by the					

	delegated agency CPO or by the State Procurement Administrator for this procurement? (R2-7-E303.B and D)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.7	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Approved by Deputy CPO
7.3.2.8	When this procurement was approved, did the agency negotiate a contract that was advantageous to the State? (R2-7-E303.C.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.9	Did the agency include the State's uniform terms and conditions in this contract? (ARS §41-2585; R2-7-606.A)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.3	Are Procurement Disclosure Statements in file for all who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	No PDS attached to file of record for requisitioning employee/program-manager initiating re-solicitation.
7.3.3.1	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.5	Contract Administration					
7.3.5.1	Are contract files and records complete and available for public inspection? (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	7.3.1, 7.3.3
7.3.5.2	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
7.3.1	Procurement officer should obtain original written procurement request for product/service and upload to the procurement file.	Procurement Officer	ASAP
7.3.3	Procurement officer should obtain the state employee signed Procurement Disclosure Statement and upload to the procurement file.	Procurement Officer	ASAP
7.3.1 7.3.3	CPO should instruct procurement staff to ensure items are obtained, procedures implemented to obtain in the future, and items are present in the procurement file.	CPO	ASAP & Ongoing

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria is used for each representative solicitation or contract.

Competition Impracticable Procurement	
Contract Number:	ADHS14-069957
Contract Title or Description:	HRPP/NICP Inpatient Hospital Services
Contract Estimated Amount:	\$2,039,240 Annually

7.3H	Competition Impracticable Procurement	N/A	Yes	No	Requires Action	Comments
7.3.1	Is there a Procurement Request, in writing, on file (Requisition/Email/Other)? (Req copy) (ARS §41-2537 and R2-7-E303)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	The file does not contain specific written request from office/division for the product. Contract not linked to requisition in ProcureAZ.
7.3.2	Does the procurement request include the following? (R2-7-E303.C)					
7.3.2.1	An explanation of the competition impracticable need and the unusual or unique situation that makes competitive bidding impracticable, unnecessary, or contrary to public interest. (R2-7-E303.C.1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.2	A definition of the proposed procurement process to be utilized and an explanation of how this process will foster as much competition as practicable. (R2-7-E303.C.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.3	An explanation of why the proposed procurement process is advantageous to the state. (R2-7-E303.C.3)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.4	The scope, duration, and estimated total dollar value of the procurement need (R2-7-E303.C.4)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.5	Did the agency include as much competition as was feasible and negotiated a suitable agreement while pursuing an impracticable situation? (R2-7-E303.A)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.6	Was there a written approval by the					

	delegated agency CPO or by the State Procurement Administrator for this procurement? (R2-7-E303.B and D)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.7	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Approved by CPO
7.3.2.8	When this procurement was approved, did the agency negotiate a contract that was advantageous to the State? (R2-7-E303.C.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.9	Did the agency include the State's uniform terms and conditions in this contract? (ARS §41-2585; R2-7-606.A)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.3	Are Procurement Disclosure Statements in file for all who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	No PDS attached to file of record for requisitioning employee/program-manager initiating re-solicitation.
7.3.3.1	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.5	Contract Administration					
7.3.5.1	Are contract files and records complete and available for public inspection? (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	7.3.1, 7.3.3
7.3.5.2	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
7.3.1	Procurement officer should obtain original written procurement request for product/service and upload to the procurement file.	Procurement Officer	ASAP
7.3.3	Procurement officer should obtain the state employee signed Procurement Disclosure Statement and upload to the procurement file.	Procurement Officer	ASAP
7.3.1 7.3.3	CPO should instruct procurement staff to ensure items are obtained, procedures implemented to obtain in the future, and items are present in the procurement file.	CPO	ASAP & Ongoing

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria is used for each representative solicitation or contract.

Competition Impracticable Procurement	
Contract Number:	ADHS14-062231
Contract Title or Description:	First Things First Incentive Program
Contract Estimated Amount:	\$1,138,034 x 5 years

7.3I	Competition Impracticable Procurement	N/A	Yes	No	Requires Action	Comments
7.3.1	Is there a Procurement Request, in writing, on file (Requisition/Email/Other)? (Req copy) (ARS §41-2537 and R2-7-E303)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	The file does not contain specific written request from office/division for the product. Contract not linked to requisition in ProcureAZ.
7.3.2	Does the procurement request include the following? (R2-7-E303.C)					
7.3.2.1	An explanation of the competition impracticable need and the unusual or unique situation that makes competitive bidding impracticable, unnecessary, or contrary to public interest. (R2-7-E303.C.1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.2	A definition of the proposed procurement process to be utilized and an explanation of how this process will foster as much competition as practicable. (R2-7-E303.C.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.3	An explanation of why the proposed procurement process is advantageous to the state. (R2-7-E303.C.3)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.4	The scope, duration, and estimated total dollar value of the procurement need (R2-7-E303.C.4)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.5	Did the agency include as much competition as was feasible and negotiated a suitable agreement while pursuing an impracticable situation? (R2-7-E303.A)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	The CI determination does explain a vetting process in place which serves as a competitive process to identify the most qualified candidates.

						However, it is not clear why the competitive process described could not be performed within the limits of the APC.
7.3.2.6	Was there a written approval by the delegated agency CPO or by the State Procurement Administrator for this procurement? (R2-7-E303.B and D)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.7	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Approved by CPO
7.3.2.8	When this procurement was approved, did the agency negotiate a contract that was advantageous to the State? (R2-7-E303.C.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.9	Did the agency include the State's uniform terms and conditions in this contract? (ARS §41-2585; R2-7-606.A)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.3	Are Procurement Disclosure Statements in file for all who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	No PDS attached to file of record for requisitioning employee/program-manager initiating re-solicitation.
7.3.3.1	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.5	Contract Administration					
7.3.5.1	Are contract files and records complete and available for public inspection? (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	7.3.1, 7.3.3
7.3.5.2	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
7.3.1	Procurement officer should obtain original written procurement request for product/service and upload to the procurement file.	Procurement Officer	ASAP
7.3.3	Procurement officer should obtain the state employee signed Procurement Disclosure Statement and upload to	Procurement Officer	ASAP

	the procurement file.		
7.3.1 7.3.3	CPO should instruct procurement staff to ensure items are obtained, procedures implemented to obtain in the future, and items are present in the procurement file.	CPO	ASAP & Ongoing

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria is used for each representative solicitation or contract.

Competition Impracticable Procurement	
Solicitation or Contract Number:	ADHS14-066083
Contract Title or Description:	Short Term Psychosexual Screening and Evaluation at ACPTC
Contract Estimated Amount:	<\$100,000

7.3J	Competition Impracticable Procurement	N/A	Yes	No	Requires Action	Comments
7.3.1	Is there a Procurement Request, in writing, on file (Requisition/Email/Other)? (Req copy) (ARS §41-2537 and R2-7-E303)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Physician for state hospital exempt from APC for ADHS
7.3.2	Does the procurement request include the following? (R2-7-E303.C)					
7.3.2.1	An explanation of the competition impracticable need and the unusual or unique situation that makes competitive bidding impracticable, unnecessary, or contrary to public interest. (R2-7-E303.C.1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.2	A definition of the proposed procurement process to be utilized and an explanation of how this process will foster as much competition as practicable. (R2-7-E303.C.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.3	An explanation of why the proposed procurement process is advantageous to the state. (R2-7-E303.C.3)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.4	The scope, duration, and estimated total dollar value of the procurement need (R2-7-E303.C.4)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.5	Did the agency include as much competition as was feasible and negotiated a suitable agreement while pursuing an impracticable situation? (R2-7-E303.A)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.6	Was there a written approval by the delegated agency CPO or by the State	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	Procurement Administrator for this procurement? (R2-7-E303.B and D)					
7.3.2.7	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.8	When this procurement was approved, did the agency negotiate a contract that was advantageous to the State? (R2-7-E303.C.2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.9	Did the agency include the State's uniform terms and conditions in this contract? (ARS §41-2585; R2-7-606.A)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.3	Are Procurement Disclosure Statements in file for all who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Exempt
7.3.3.1	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Exempt
7.3.5	Contract Administration					
7.3.5.1	Are contract files and records complete and available for public inspection? (ARS §41-2533; SP#006)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Exempt
7.3.5.2	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria were considered in the procurement performance review process in compliance with AZSPO Technical Bulletin No. 3, Procurement Compliance Reviews – Phase 3 (Agency Procedures, Kickoff/Post-Award Meeting, and Contract Administration).

Item No.	Compliance Criteria					
8.0	Contract Administration	N/A	Yes	No	Requires Action	Comments
8.1	Does the agency have procedures for contract administration?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Note: Office has Procurement Policies & Procedures Matrix inclusive of upcoming revisions to existing manual, of which this topic is listed to be drafted.
8.1.1	Are contract administration functions assigned?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.2	Are post-award (kickoff) meetings held for complex contracts, in which contractors and contracting officer representatives meet for clear & mutual understanding of terms and conditions?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.3	Are contracts monitored for compliance with work progress to ensure services are performed according to quality, quantity, objectives, timeframes, and manner specified within the contract, based on inspection if necessary?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Office relies on feedback from program managers to identify and address problems. However no routine feedback system in place.
8.3.1	Does agency respond to indications of material breach of contract?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Office routinely sets face-to-face meetings with vendors to establish cure criteria.
8.3.2	Does agency have procedures for determining needs for Recommendations?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Although the procurement staff is all familiar with procedures to address issues via in-office meetings with vendors, it is highly recommended the office implement these procedures in a section of the procurement

						policy and procedure manual.
8.4	Are contractor's insurance in file and up to date?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Contract files do not appear to be routinely monitored to replace expiring certificates of insurance. (5 of 21 files lack UTD COI)
8.4.1	Does agency have mechanisms in place to ensure insurance is up to date?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Recommend addressing this as a contract administration function in the agency procurement manual.
8.5	Are all applicable determinations in the contract file?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.6	Does the agency have procedures for rate increase requests?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.7	Does agency verify with end users that contract is needed and should be extended?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.8	Are amendments/addendums/contract-renewals in compliance with contract terms?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.9	Vendor Compliance					
8.9.1	Does agency appropriately respond to Vendor Performance Reports? (documenting both satisfactory & unsatisfactory performance)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	In office meetings with vendor address needs to cure. However, staff did not identify any methods to collect feedback for satisfactory performance.
8.9.2	(TBD) Does agency complete Vendor Performance Assessments annually and use in the evaluation of past suppliers?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
8.3 8.3.2 8.9.1	CPO should integrate contract performance monitoring procedures as a portion of the Contract Administration section of the agency procurement policy and procedure manual.	CPO	ASAP
8.4 8.4.1	CPO should integrate verification of contractor insurance as a portion of the Contract Administration section of the agency procurement policy and procedure manual.	CPO	ASAP



Division for Planning and Operations .

Office of Procurement

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(602) 542-1741 Fax

DOUGLAS A. DUCEY, GOVERNOR
WILL HUMBLE, DIRECTOR

January 13, 2015

Jeremy Beakley, MBA, CCEP
Compliance Officer
Arizona Department of Administration
State Procurement Office
100 North 15th Avenue
Phoenix, AZ 85007

Dear Mr. Beakley:

Thank you for taking the time to meet with me and the Arizona Department of Health Services (ADHS) Procurement staff as you conducted the 2014 Procurement Performance Review. The report you provided is detailed and thorough. ADHS is using the information to further improve internal processes. ADHS will continue to focus on developing best practices to ensure ongoing compliance with the Statutes, Rules, Technical Bulletins and Standard Procedures as required by the State Procurement Office (SPO). While ADHS will not be scheduled for another Procurement Performance Review for four years, as a continuous improvement initiative, we will implement a yearly Control Self-Assessment.

The ADHS Mission is *to improve the health and wellness of people and communities in Arizona*. To support the agency Mission, Procurement's role is *to provide customer-based purchasing and contracting of commodities and services to meet the needs of all ADHS customers in a legal, cost effective and efficient manner*.

The ADHS Office of Procurement includes the following staff:

- 1 ADOA Chief Procurement Officer (CPO)
- 1 ADHS Deputy Chief Procurement Officer
- 2 Senior Procurement Specialists
- 7 Procurement Specialists
- 1 Procurement Associate

Procurement manages, including Amendments, approximately 1,100 contracts and agreements.

For State Fiscal Year 2014 (SFY14), ADHS completed 48 Solicitations from draft through award:

- 14 RFQ
- 9 IFB
- 18 RFP
- 3 RFGA

For SFY14, ADHS reviewed and processed 5,299 Purchase Orders for a total of \$262,200,623. The average cycle time for standard release was 2.8 days.

For SFY14, ADHS completed 390 Agreements, Grants under Waiver, Memorandum of Understanding and Limited Competition Contracts.

- ISA: 29
- IGA: 99
- MOU: 24
- Agreements: 132
- Limited Competition and Grant Waivers: 106

The Procurement Performance Review included 21 (2 RFQ, 3 IFB, 3 RFP, 10 competition impracticable and 3 sole source) contracts and 5 open-market requisitions.

Findings:

The Findings addressed Procurement Policies and Procedures Manual and Contract Files. These will be addressed individually. SPO had two recommended areas of improvements:

- *Complete the update of ADHS Procurement Policies and Procedures Manual and implement recommended additions addressed within the review.*
- *Provide staff training to ensure proper documentation is loaded into the contract file and documented as required by the Arizona Procurement Code, Standard Procedures and Technical Bulletins.*

Recommendations:

Procurement Policies and Procedures Manual Update:

1.a. It is the recommendation of the SPO Compliance Unit that ADHS endeavors to finish updating its procurement policies and procedures manual as soon as possible. Revisions to the ADHS procurement policies and procedures manual should not only reflect current state procurement policies, but also the specific practices of the procurement office at ADHS. Revision to the manual should focus on maximizing the procurement office's effectiveness and efficiency in the acquisition of goods and services by providing a clear, workable, direction to both skilled and new procurement personnel.

Contract Files Internal Procedures:

2.a. The SPO Compliance Unit strongly recommends identifying the missing items addressed above, scanning, and uploading them, where possible to the respective contract files on ProcureAZ. Completed

2.b. The SPO Compliance Unit recommends the ADHS procurement office address the requirements of SPO SP #024 and APC R2-7-205 by ensuring requisition are submitted, and linked to the contract file, via ProcureAZ. Where this is not possible, ADHS should implement processes which ensure written requests, by methods approved by the CPO, are obtained from the program manager initiating the procurement process and retained in the procurement file of record. Completed for the files identified in the Compliance Review and all competitive and limited competition contracts will be reviewed and

corrected, as needed, by January 31, 2015.

2 c. The SPO Compliance Unit recommends the CPO provide the ADHS procurement staff training addressing SPO SP#003 and SPO TB#10 to enhance the office personnel understanding and practice in compliance of the Significant Procurement Role Training should specifically address retaining Procurement Disclosure Statements in the contract file of record and to notify SPO of all significant procurement activity. Training will be conducted for all staff with pre- and post-tests on January 19, 2015.

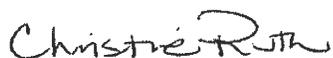
2e. The SPO Compliance Unit recommends the CPO provide the ADHS procurement staff training in completion of the Sole Source Determination requests and Competition Impracticable Determination requests which adhere to addressing all the requirements of the Arizona Procurement Code (41-2536 and 41-2537). Specifically, the office should avoid statements within the determination requests which may leave question to third party reviewers, such as "Why couldn't we solicit this scope of work competitively and, if necessary, award as a sole source?" and "Is this sole source actually quoting a fair price?" Training will be conducted for all staff with pre- and post-tests on February 2, 2015.

On the attachment, ADHS provides comments for each area of improvement and an estimated completion date.

As there were several items not completed consistently in the files reviewed, such as the written request to begin the process and a copy of the actual legal ad, the ADHS Procurement staff are checking all contracts and fixing any omissions via a Master Blanket Purchase Order Contract Change Order. Ongoing, these steps will be included for each Solicitation and Master Blanket Purchase Order Contract, as applicable. The RFQ, IFB and RFP Check Lists have been updated to add these Tasks.

Please let me know if you need any additional information or have any questions..

Sincerely,



Christine Ruth, CPPB,
ADOA Chief Procurement Officer for ADHS

Cc: Janet Mullen, PhD., MBA, Deputy Director for Planning and Operations, ADHS
Barbara Corella, MBA, State Procurement Administrator, ADOA State Procurement Office
Alexandra Percival, COA/Bureau Chief, Audit and Special Investigations, ADHS
Rebecca O'Brien, CPPB, CPM, Deputy Chief Procurement Officer, ADHS

Page No.	Item No.	Compliance Criteria	SPO Comment	ADHS Comment and Estimated Completion Date
9	1.5	<p><u>Purchasing Organization</u>: Agency has well documented process for adding/deleting delegated authority in ProcureAZ</p>	<p>Office should include in its procurement policy and procedures manual the internal processes for processing changes to delegated procurement authority in ProcureAZ</p>	<p>ADHS is working on revising all policies and procedures to align with SPO Technical Bulletin (TB) and Standard Procedure (SP). The estimated completion date is June 30, 2015.</p> <p>The internal procedure for 1.5 has been revised and documented: ProcureAZ Administrators receive an email from the Program; individual completes the Annual Disclosure Form and provides a copy of certificate of completion of ProcureAZ training prior to User ID login. On a weekly basis, ADHS Information Technology Services (ITS) provides a report of all ADHS staff that no longer has LAN and Outlook access. If any of the staff have access to ProcureAZ they are deleted by the Administrator.</p>
10	2.2	<p><u>Purchasing Policies and Procedures Manual</u>: Is the agency's purchasing policies and procedures manual current and in compliance with the AZ Procurement Code (APC), applicable executive orders and SPO Technical Bulletins</p>	<p>Office has a policies and procedures change matrix and is already in process of bringing up to date.</p>	<p>ADHS submitted a draft Purchasing Manual document to SPO for review on December 17, 2014. The estimated completion date is June 30, 2015.</p>

Page No.	Item No.	Compliance Criteria	SPO Comment	ADHS Comment and Estimated Completion
10	2.3.1	<u>Purchasing Policies and Procedures Manual</u> : Does the agency's manual provide comprehensive instructions on the description of the purchasing cycle?	Procurement Policies & Procedures Matrix inclusive of upcoming revisions to existing manual, of which this topic is listed to be revised. See 2.3.1	The estimated completion date is June 30, 2015.
10	2.3.3	<u>Purchasing Policies and Procedures Manual</u> : Agency-specific instructions on how to process purchase requisitions and purchase orders	Note: Office has Procurement Policies & Procedures Matrix inclusive of upcoming revisions to existing manual, of which this topic is listed to be drafted. Older policy does not address ProcureAZ.	The estimated completion date is June 30, 2015.
10	2.3.3.1	<u>Purchasing Policies and Procedures Manual</u> : Instructions on how to process purchase orders and contract releases in ProcureAZ	Manual includes ProcureAZ instructions for Sole Source, Small Dollar, and CI. Matrix (see 2.3.3.1) addresses several policies still to be drafted.	ADHS current Procurement Policies and Procedures were last updated in 2008. The estimated revision completion date is June 30, 2015.
10	2.3.4	<u>Purchasing Policies and Procedures Manual</u> : Instructions on how to use agency's procurement system		The estimated completion date is June 30, 2015.

Page No.	Item No.	Compliance Criteria	SPO Comment	ADHS Comment and Estimated Completion Date
11	2.3.6	<u>Purchasing Policies and Procedures Manual</u> : Instructions on how to process sole source, limited competition, and emergency procurements (Unlimited w/in authority; Limited to SPO)	Note: Office has Procurement Policies & Procedures Matrix inclusive of upcoming revisions to existing manual, of which this topic is listed to be revised.	The estimated completion date is June 30, 2015.
11	2.3.7	<u>Purchasing Policies and Procedures Manual</u> : Instructions on how to conduct solicitations, as applicable to agency delegated authority (RFQ, IFB, RFP)	RFQ Checklist associated with RFQ instructions is dated 11/2007 and reference old SPIRIT system – should be updated.	Completed: The RFQ Checklist has been updated to reflect ProcureAZ and all applicable Technical Bulletins and Standard Procedures
11	2.3.8	<u>Purchasing Policies and Procedures Manual</u> : Instructions on contract administration and procurement file management	Note: Office has Procurement Policies and Procedures Matrix inclusive of upcoming revisions to existing manual, of which this topic is listed to be drafted	The estimated completion date is June 30, 2015.
11	2.3.9	<u>Purchasing Policies and Procedures Manual</u> : Instructions on set-aside purchasing	While IFB/RFP/RFQ instructions/checklist point to statewide contracts and set-aside as sources before solicitation, state set-asides should be emphasized as the primary option before statewide contracts (TB#004)	Completed: The checklists have been updated to align with TB#004.

Page No.	Item No.	Compliance Criteria	SPO Comment	ADHS Comment and Estimated Completion Date
11	2.3.10	<u>Purchasing Policies and Procedures Manual</u> : Instructions on submitting agency procurement reports (e.g. changes in delegated personnel, set-aside program, Compliance with AZ Legal Workers Act., etc.)	Office should include internal procedures to complying with executive orders and statutes not specifically addressed in the A.P.C., but are applicable to the procurement office	ADHS will take the recommendation and create the internal procedures by January 31, 2015. Please note, each quarter ADHS submits the required reports (e.g. changes in delegated personnel, set-aside program, Compliance with AZ Legal Workers Act and Competition Impracticable Contract extensions) in a timely manner.
11	2.3.11	<u>Purchasing Policies and Procedures Manual</u> : Instructions on how to process cooperative purchasing agreements (TB# 005)	Office should include internal procedures for the consideration and use of WSCA approved contracts.	ADHS follows TB# 005 related to use of WSCA approved contracts. ADHS also follows the Letter of Delegation that requires SPO approval prior to any cooperative purchases. ADHS concurs with the recommendation and will create the internal procedures by January 31, 2015.
11	2.3.13	<u>Purchasing Policies and Procedures Manual</u> : Instructions on how to dispose of agency surplus property	Office should include agency specific instructions for the disposal of surplus property.	ADHS follows the A.P.C. related to disposal of surplus property. ADHS concurs with the recommendation and will create the internal procedures by January 31, 2015.

Page No.	Item No.	Compliance Criteria	SPO Comment	ADHS Comment and Estimated Completion Date
15	4.1	<p><u>Procurement Personnel Training and Delegation</u>: Does the agency provide in-house procurement training and mentoring programs for newly-hired procurement personnel?</p>	<p>The office utilizes a “buddy system” to mentor new employees through shadowing and observation. The staff agrees, however, a documented training process would enhance the existing training practices.</p>	<p>ADHS will establish a formal training process for newly hired procurement personnel by February 28, 2015.</p> <p>The Office conducts training for staff at bi-weekly staff meetings. A formal training program with pre- and post-tests was implemented in 2013 to enhance knowledge and will be reinstated immediately by the CPO.</p>
15	4.3	<p><u>Procurement Personnel Training and Delegation</u>: Are agency procurement managers certified by a public procurement organization (NIGP, ISM, etc) (TB# 001 and TB# 002)</p>	<p>Deputy CPO has CPPO – however, no other certifications</p>	<p>The CPO holds a NIGP CPPB. The Deputy CPO holds a NIGP CPPB and CPM from ASU.</p>
15	4.4	<p><u>Procurement Personnel Training and Delegation</u>: Is agency procurement staff certified by a public procurement organization (NIGP, ISM, etc. (TB# 001 & TB# 002)</p>	<p>Office staff does not hold NIGP certifications. Agency budget limitations permit membership for procurement office staff to NIGP, but funding for classes only for two Sr. Procurement Technicians.</p>	<p>Procurement staff has the opportunity to participate in national and local chapter NIGP training, certification, and events at their own expense. ADHS pays for their membership in both the local and national NIGP. The 2 Senior Procurement Specialists are permitted 1 NIGP course per year at ADHS expense. The 2 Senior Procurement Specialists are taking ISM courses working toward certification by December 31, 2015.</p>

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16	4.8	<p><u>Procurement Personnel Training and Delegation</u>: Were procurement personnel adequately trained prior to being granted procurement delegation by the agency CPO? (TB# 002, Delegated Procurement Authority)</p>	<p>Training transcripts do not reflect ProcureAZ CBTs completed as required for position title/grade of only 1 of 11 procurement personnel: Procurement Specialist: ADSPO210C, ADSPO0400</p>	<p>The Procurement Technician, 1 Procurement Specialist, and the Deputy CPO took the 3 CBT classes in November 2014. The Technician took the classroom session. All other staff will take the CBTs by January 31, 2015 and schedule the next available classroom class. There were issues with YES capturing the information for the classes when first posted so not everyone has the classes on their transcript.</p>
17	5.2	<p><u>Procurement Personnel Training and Delegation</u>: Does the agency have a procedure or policy for dealing with unethical behavior?</p>	<p>ADHS procurement manual specifies "zero tolerance" for unethical behavior. No specific known policy – although staff know to escalate concerns to upper-management</p>	<p>The Policy was updated in 2008. The estimated completion date for all revised Policies and Procedures is June 30, 2015.</p>

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20, 24	6.1A; 6.1B 6.1.1	<u>Request for Quotations (RFQ):</u> Is there a Procurement Request, in writing, on file? (R2-7-205) ADHS15-082324 and ADHS14-062678	The files do not contain specific written request from office/division for the services as a pre-solicitation document. Contract not linked to requisition in ProcureAZ.	ADHS established a process for all ADHS Programs to provide an email notification to the Procurement Officer. The Procurement Officer will create the Requisition in ProcureAZ for the Solicitation that can be connected to the Master Blanket Purchase Order Contract. For ADHS15-082324, the Procurement Officers created a change order to add the information on 12.30.14. For ADHS14-062678 this was completed on 1.9.15.
22	6.1A, 6.1B 6.1.12.2	<u>Request for Quotations (RFQ):</u> Is there a valid and current Certificate of Insurance on file (if applicable)? (ARS 41-2573) ADHS15-082324 and ADHS14-062678	Certificate of Insurance expired; Files does not contain certificate of insurance	For ADHS15-082324, the Procurement Officers reached out to the contractor on 12.3014 and 1.6.15. The documents for ADHS14-062678 will be uploaded by February 1, 2015, or the Contract will be terminated for default.
25	6.1B 6.1.8	<u>Request for Quotations (RFQ):</u> Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003) ADHS14-062678	No PDS attached to file of record for requisitioning employee initiating solicitation	The document for ADHS14-062678 was uploaded 1.8.15. The Procurement Officer for this contract is out on leave and cannot sign a form at this time.

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28, 33, 38	6.2.A, 6.2B, 6.2C 6.2.1	<u>Invitation for Bids</u> : Is there a Procurement Request, in writing, on file? (R2-7-205) ADHS15-082051, ADHS15-080540 and ADHS14-075630	The files do not contain specific written request from office/division for the services as a pre-solicitation document. Contract not linked to requisition in ProcureAZ.	ADHS established a process for all Programs to provide an email notification to the Procurement Officer. The Procurement Officer will create the Requisition in ProcureAZ for the Solicitation that can be connected to the Master Blanket Purchase Order Contract. The Procurement Officers created a change order to add the information, except for ADHS15-080540. The Procurement Officer's hard drive crashed and all her email was lost April 2014. The authorization was verbal.
35 40	6.2A 6.2B 6.2C 6.2.10	<u>Invitation for Bids</u> : Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003) ADHS15-082051, ADHS14-075630	No PDS attached to file of record for requisition employee initiating solicitation	The Procurement Officer signed the Annual Disclosure and not the Significant Procurement Role. This has been corrected and added to the file on 12.31.14 for ADHS15-082051 The documents were uploaded on 1.6.15 for ADHS14-075630.
			Procurement not listed on SPO list of significant procurement activities.	The Procurement Officer uploaded the document on 12.31.14. SPO was notified 1.7.15.

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35	6.2B 6.2.11	Invitation for Bids: Did the agency director, or designee inform employees when the first PDS was signed, and notify the State Procurement Administrator? ADHS15-082051		
36	6.2B 6.2.16.2	Invitation for Bids: Does the file contain adequate justification for multiple awards, or otherwise obtained SPA authorization? (R2-7-608) ADHS15-082051	File does not contain justification for multiple awards	The request was approved by SPO. The Procurement Officer has corrected this by change order on 12.30.14.
36 41	6.2B 6.2C 6.2.18.2	Invitation for Bids: Is there a valid and current Certificate of Insurance consistent with the contract requirements? (ARS 41-2573) ADHS15-082051, ADHS14-075630	COI in file expired 10/22/14	For multiple awards where the bidder may never receive a Purchase Order, ADHS did not request the COI until there was a need. This process has been revised to always request and receive the COI. Education Materials was a large multiple award and the Procurement Officer is seeking COI from all and where received has already uploaded to the file. For ADHS15-082051, the Procurement Officer uploaded an updated certificate on 12.31.14

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43, 48	6.3A 6.3B 6.3.1	<u>Request for Proposal:</u> Is there a Procurement Request, in writing, on file? (R2-7-205) ADHS14-064595, ADHS15-083139	The files do not contain specific written request from office/division for the services as a pre-solicitation document. Contract not linked to requisition in ProcureAZ.	Email from the program was uploaded for both RFPs on 1.7.15.
43, 48	6.3A 6.3B 6.3C 6.3.4	<u>Request for Proposal:</u> Was there adequate notice, a minimum of 14 days before bid opening, of the RFP in a newspaper? (ARS 41-2533. C, R2-7-B301) ADHS14-064595, ADHS15-083139, ADHS14-059738	No evidence in file the solicitation was publicized a minimum of 14 days before bid opening.	Legal ad uploaded 1.7.15 for ADHS14-064595 and 12.31.14 for ADHS15-083139. The legal ad from ADHS14-059738 is pending a copy from the newspaper. When received it will be uploaded.
46	6.3A 6.3B 6.3.17.1	<u>Request for Proposal:</u> Bidders – General Tab: Is Bid Holder list hidden from Vendors? (preventing collusion) ADHS14-064595	Bid Holder list was unchecked – viewable to public	Noted and Procurement Officers have been reminded to check the appropriate box so the list is held confidential
50	6.3B 6.3C 6.3.11	<u>Request for Proposal:</u> Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003) ADHS15-083139	State employee evaluator PDS forms not attached to file of record.	This RFP was completed by a previous ADHS Procurement Officer and no documents are located in the Procurement Officer's contract file. ADHS continues to research and will upload if found. To correct this problem the Procurement Officer's Supervisor will check to make sure the documents are uploaded appropriately.

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56	6.3C 6.3.18.2	Request for Proposal: Is there a valid and current Certificate of Insurance consistent with the contract requirements? (ARS 41-2573) ADHS15-059738	Certificate of Insurance in file expired 04/01/2014	A current COI has been uploaded by the Procurement Officer.
58, 61, 64	7.1A, 7.1B, 7.1C 7.1.1	Sole Source Procurement: Is there a Procurement Request, in writing, on file? (R2-7-205 and R2-7-E301) ADHS14-060671, ADHS14-067383, ADHS15-076874	The files do not contain specific written request from office/division for the services as a pre-solicitation document. Contract not linked to requisition in ProcureAZ.	For ADHS14-067383 the previous Procurement Officer did not require a written request from the program. All ADHS Procurement Officers have been notified again that this is a requirement.
58, 61, 64	7.1A, 7.1B, 7.1C 7.1.2.4	Sole Source Procurement: Documentation that the price is fair and reasonable? (R2-7-702; R2-7-E301.B.4) ADHS14-060671, ADHS14-067383, ADHS15-076874	Although the procurement file contains quotes from vendor, the file does not contain documentation that the price is fair & reasonable to the market.	All new Sole Source Determinations will include language reflecting research to determine the price is fair and reasonable.
62	7.1B 7.1.3	Sole Source Procurement: Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003) ADHS14-067383	No PDS attached to file of record for requisitioning employee/program manager initiating re-solicitation	This Sole Source was conducted by a previous Procurement Officer who is no longer with ADHS. There were no forms found in the file and the State Lab said they do not keep copies. To correct this problem the Procurement Officer's Supervisor will check to make sure the documents are uploaded appropriately.

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67, 70 72 75 78 82 84 86	7.3A 7.3B 7.3C 7.3D 7.3E 7.3G 7.3H 7.3I 7.3.1	Competition Impracticable: Is there a Procurement Request, in writing, on file? (ARS 41-2537 and R2-7-E303) ADHS15-078165, ADHS14-072466, ADHS14-064395, ADHS14-073439, ADHS14-060468, ADHS14-061225, ADHS14-069957, ADHS14-062231	The files do not contain specific written request from office/division for the services as a pre-solicitation document. Contract not linked to requisition in ProcureAZ.	The email notifications were uploaded except for ADHS14-060468. No documents exist for ADHS14-060468 as this was completed by a Procurement Officer that is no longer with ADHS and none in the file. To correct this problem the Procurement Officer's Supervisor will check to make sure the documents are uploaded appropriately. ADHS15-078165: continuation of previous contract and contractor agreed, in writing, to hold prices to the same as for previous contract.
68 71 73 76 83 85 87	7.3A 7.3B 7.3C 7.3D 7.3G 7.3H 7.3I 7.3.3	Competition Impracticable: Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003) ADHS15-078165, ADHS14-072466, ADHS14-064395, ADHS14-073439, ADHS14-069957, ADHS14-062231	No PDS attached to file of record for requisitioning employee/program manager initiating re-solicitation	The PDS were uploaded except for the 2 referenced below. For ADHS14-061225 and ADHS14-062231 the previous Procurement Officer, who is no longer with ADHS, did not secure the documents for uploading. To correct this problem the Procurement Officer's Supervisor will check to make sure the documents are uploaded appropriately.

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68, 73, 76	7.3A 7.3C 7.3D 7.3.3.1	<u>Competition Impracticable:</u> Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator? ADHS15-078165, ADHS14-064395, ADHS14-073439	Significant procurement activity not listed on SPO Website.	SPO was notified 1.7.15 for ADHS15-078165 and ADHS14-073439. SPO was notified 1.12.15 for ADHS14-064395.
78	7.3E 7.3.2.5	<u>Competition Impracticable:</u> Did the agency include as much competition as was feasible and negotiated a suitable agreement while pursuing an impracticable situation? (R2-7-E303A) ADHS14-060468	While the CI determination clearly explains why Sun Life is qualified to conduct the service needed, it is not clear that competition was necessarily impracticable to solicit for the SOW Sun Life was able to satisfy.	The CI will be revised. It is very difficult to find entities through competition that will provide services in rural medically underserved parts of Arizona, especially for low income families. Sun Life, as a Federally Qualified Health Center, was willing to assist ADHS.
0604 6886	7.3I 7.3.2.5	<u>Competition Impracticable:</u> Did the agency include as much competition as was feasible and negotiated a suitable agreement while pursuing an impracticable situation? (R2-7-E303A) ADHS14-062231	The CI determination does explain a vetting process in place which serves as a competitive process to identify most qualified candidates. However, it is not clear why the competitive process described could not be performed within the limits of the APC.	First Things First funds the program to provide early childhood therapist services to repay student loans and provide incentives to work in medically underserved areas. Competition is part of the application process conducted by the ADHS program, based on the same criteria of the Federal Loan Repayment Program for Health Care Services (42 CFR, part 62). The same scoring tool is used. A CI determination permits ADHS to recruit therapists throughout the year versus soliciting each time a position opens.

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89	7.3J 7.3.1	<u>Competition Impracticable</u> : ADHS14-066083	Noted that Physician for state hospital exempt from APC for ADHS	ADHS created a CI contract. Based on previous conversations with SPO, the exemption is intended for physicians that provide direct care to patients at the State Hospital. In this instance, the psychiatrists are completing evaluations for the residents of the APCTC required by court hearings.
91	8.0 8.1	<u>Contract Administration</u> : Does the agency have procedures for contract administration?	Office has Procurement Policies & Procedures Matrix inclusive of upcoming revisions to existing manual, of which this topic is listed to be drafted.	The estimated completion date for all revised Policies and Procedures is June 30, 2015.
91	8.0 8.1	<u>Contract Administration</u> : Are contracts monitored for compliance with work progress to ensure services are performed according to quality, quantity, objectives, timeframes, and manner specified within the contract, based on inspection if necessary.	Office relies on feedback from program managers to identify and address problems. However no routine feedback system in place.	Procurement Officers meet routinely with their programs and issues are identified in the meetings. In addition, the Procurement Office provides training routinely to ADHS programs and they know to contact procurement for any vendor performance issues.

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91	8.0 8.3.2	<u>Contract Administration</u> : Does agency have procedures for determining needs to Recommendations?	Although the procurement staff is all familiar with procedures to address issues via in-office meetings with vendors, it is highly recommended the office implement these procedures in a section of the procurement policy and procedure manual.	ADHS concurs with the recommendation and will include it in the procurement policy and procedure manual.
92	8.0 8.4	<u>Contract Administration</u> : Are contractor's insurance in file and up to date?	Contract files do not appear to be routinely monitored to replace expiring certificates of insurance. (5 of 21 files lack UTD COI)	Procurement staff has routinely checked COI at contract extension. Beginning in December 2014, the internal process is now to review on a monthly basis all assigned contracts to request a new COI, if necessary.
92	8.0 8.4.1	<u>Contract Administration</u> : Does agency have mechanisms in place to ensure insurance is up to date?	Recommend addressing this as a contract administration function in the agency procurement manual.	The internal process has been revised to require monthly review of all assigned contract files. A Task is set up in the Outlook calendar with a start and stop date as a reminder. Supervisors will check contracts randomly to ensure COI is current and CPO and Deputy CPO will randomly check with approving Requisitions for Master Blanket Purchase Order Releases. ADHS will incorporate into the internal procurement processes.

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92	8.9 8.9.1	Vendor Compliance: Does the agency appropriately respond to Vendor Performance Reports? (documenting both satisfactory and unsatisfactory performance)	In office meetings with vendor address needs to cure. However, staff did not identify any methods to collect feedback for satisfactory performance.	Currently procurement staff is only notified of vendor performance issues and not of satisfactory performance. Willingness to extend a contract includes the assumption that the vendor is performing adequately. ADHS Procurement is also copied on all audits conducted, with any findings or best practices, by ADHS Audit and Special Investigations.